U S E R

M a n u a l

ACATS

Chapter 4

Transaction Input

November, 1998

National Securities Clearing Corporation

Automated Customer Account Transfer Service (ACATS)

DTCC The Depository Trust & Clearing Corporation

Document History

Effective Date: November 1998	Please see Important Notice A #4649, P & S #4220 dated September 12, 1997
October 2007	Updated for ACATS shortened cycle

The primary purpose of this product guide is to familiarize members with the ACATS product offered by DTCC. This guide is not intended to serve as a legal document. No statement in this guide should be construed as a legally binding rule or regulation, or as creating an obligation on the part of NSCC or any person. In addition, any time schedules or time requirements set forth herein are subject to change without notice.

Participants should refer to the NSCC Rules & Procedures for the legal obligations of any party utilizing the ACATS service. The Rules & Procedures of NSCC, plus all updates and revisions, should be obtained by all participants from NSCC's Membership Department.

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Transaction Input

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INTRODUCTION

The purpose of this chapter is to provide Automated Customer Account Transfer Service (ACATS) users with the information needed to input transactions.

Chapter 4 contains the following topics:

- Excerpts from the PCWeb Direct User Manual
- Introduction to the ACATS Web Help available on PCWeb Direct
- Field definitions and page snapshots from the ACATS Web Help

PCWEB DIRECT

What is PCWeb Direct?

PCWeb Direct provides users with direct access to NSCC's Web applications via standard Internet browsers. According to each user's product subscriptions,

PCWeb Direct dynamically generates a custom menu, containing only the applications available to that user.

Functions

PCWeb Direct is menu-driven and designed to be user-friendly. The following functions are available:

- **PRODUCTS** (Data entry applications)
- **PASSWORD** – Reset user password
- **PREFERENCES** – Choose a color scheme and font size for your PCWeb Direct display.
- **LOGOUT**- Logout of application
- **HELP** – Online reference for all PCWeb Direct services

Hardware and Software Requirements

PCWeb Direct is designed to run on any computer that can support Netscape Communicator v4.7 or Microsoft Internet Explorer v5.x, and is **capable of connecting to the Internet**. Table 1 contains the specifications for running PCWeb Direct.

TABLE 1. PCWEB DIRECT SPECIFICATIONS

Processor	Pentium Class PC, 350 MHz

Memory	128MB RAM
Video	800x600 resolution
Monitor	17" color monitor
Printer	Any laser printer with landscape and compressed printing capabilities.
Modem	33.6 modem (Check with your ISP for support of faster modems), ISDN, T-1
Internet Browsers	• IE 6.0/SP1 • IE 5.5.Cipher Strength 128bit • Netscape 4.7with support for 128-bit key (strong encryption)
Operating System	• Windows NT • Windows 2000
Other	Diskette Drive

Note: *These guidelines are subject to change*.

PCWeb Direct Procedures

Table 2 contains a list of procedures excerpted from the PCWeb Direct Manual.

TABLE 2. PROCEDURES LIST

Procedure	See Page
Data Review/Send	2
Accessing Data Review/Send Pages from Transaction Input	3
Summary	5
Send	7
Send/Confirm Cycle	8
Sent Batches	9
Reports	10
View, Print and Save	12
Refresh Page/Reload	13
Print	13
Save	14
Data	14
Upload	15
Input to SIAC	16

Data Review/Send

To view product options from the Home page, move your mouse over the product name.

The **Data Review / Send** page links for that product are located at the bottom of the floating menu.

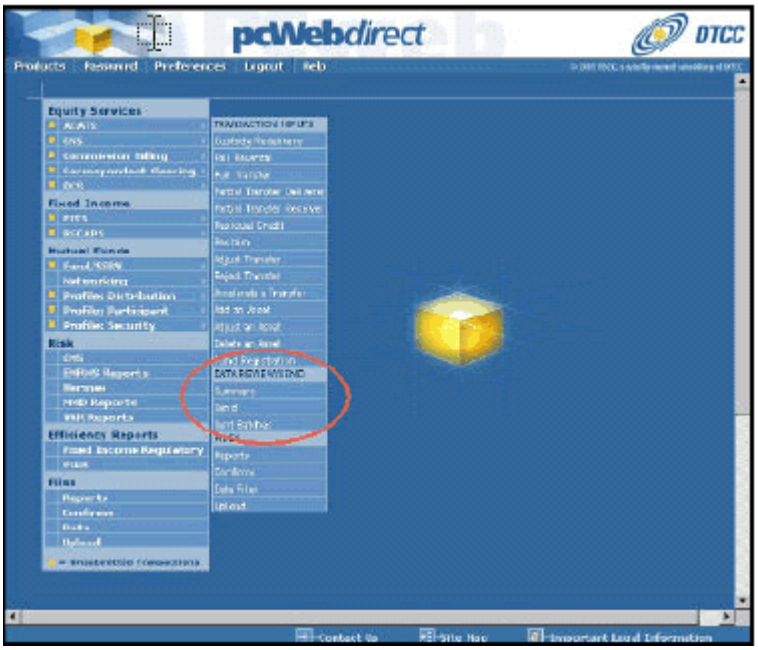

FIGURE 1. HOME PAGE - ACATS DATA REVIEW / SEND MENU

These pages are:

- Summary**:** Displays a list of all transactions entered for a specific product (e.g., FITS)
- Send**:** Displays a list of transactions available for submission to SIAC's DataTrak system.

Accessing Data Review / Send Pages from Transaction Input Pages

To access one of a product's **Data Review / Send** pages from a Transaction Input page, simply select that page's name from the **Go To** menu on the right side of the page heading.

pcWebdirect
DTCC
Products
Password
Preferences
Logout
Help
Welcome to pcWebdirect
Equity Services
ACATS
Mutual Funds
Fund/SERV
Global Update
Files
Reports
Confirms
Data
Upload
= Unsubmitted Transactions
PCWebDirect enables the following products:
Equity Services
ACATS
The Automated Customer Account Transfer Service (ACATS) is a system that automates and standardizes procedures for the transfer of assets in a customer account from one brokerage firm and/or bank to another. more info...
CNS
The Continuous Net Settlement (CNS) System is an automated book-entry accounting system that centralizes the settlement of compared security transactions and maintains an orderly flow of security and money balances. more info...
Commission Billing
Commission Billing For Listed Equities provides an automated facility for the debiting and crediting of commissions for NSCC Settling Members and non-clearing members. more info...
Correspondent Clearing
Correspondent Clearing Service is a trade-reporting service that processes equity and corporate bond transactions executed by NSCC members (Special Representatives) on behalf of other participants (Correspondents). more info...
NSCC is a wholly-owned subsidiary of DTCC
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FIGURE 2. ACCESSING THE DATA PAGES FROM AN ACATS INPUT PAGE

Click on the name of the page you want to access.

Summary Page

The Summary page allows you to search for a specific transaction type or to view a list of unsent transactions within a product.

FIGURE 3. ACATS SUMMARY PAGE

Search criteria vary for each product transaction type.

Enter the required information accordingly. Click **Begin Search** when you are finished.

FIGURE 4. SEARCH PAGE

To view a list of unsent records, click on **LIST** next to the transaction type (see Figure 3).

A page similar to that in Figures 5 and 6 will appear. This page will allow you to **view, edit,** or **delete** a transaction.

- To view and edit a saved transaction, click on its **Item Number**.

Once changes have been made, click **Submit**.

- To delete a transaction:

1. Click on that transaction's option button (in the left column, Figure 6).
2. Click on the **Delete** button at the top or bottom right of the transaction list.
3. After clicking **Delete**, all files that were selected for deletion will be removed from the list.

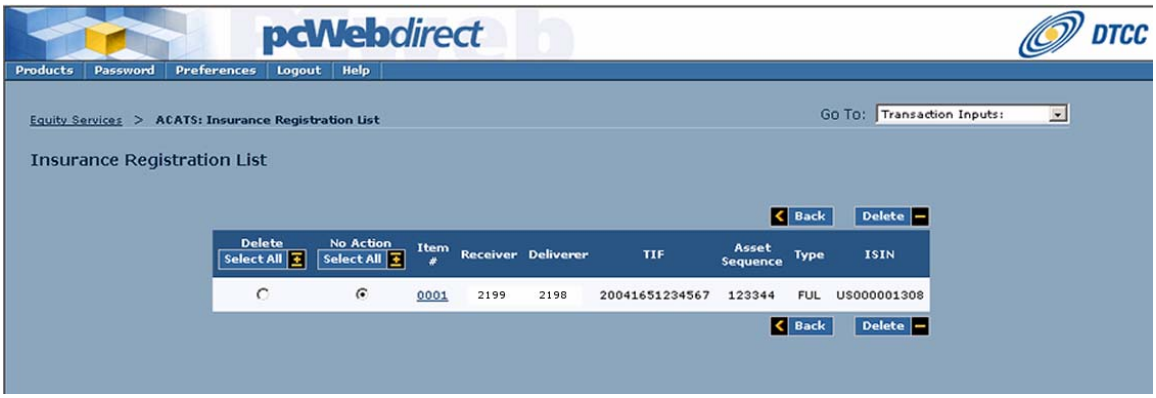


FIGURE 5. ACATS INSURANCE REGISTRATION LIST PAGE

Note: After a transaction has been sent, it can be viewed and printed.

However, it cannot be edited.

Send Page

This page represents the final step in submitting a transaction.

FIGURE 6. ACATS SEND PAGE

To view, edit, or delete a transaction listed on this page, click on its hyperlink in the **Product** column.

Note: After a transaction has been sent, it can be viewed and printed.

However, it cannot be edited.

Send/Confirm Cycle

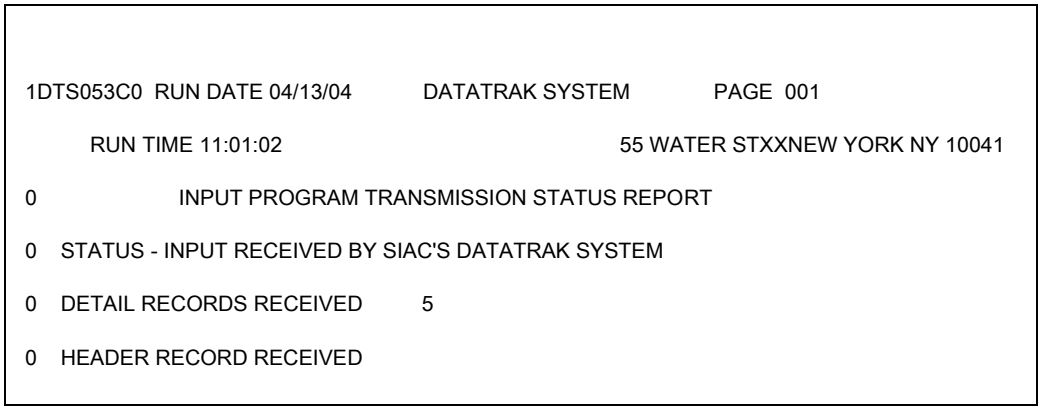
Send: To send a batch or batches to SIAC's DataTrak input system, click the option button next to the specific transaction type to be sent.

Or, click on the button from the **Send** column.

This prepares all transactions for that transaction type for submission to SIAC.

To complete the send process, click **Submit**.

Confirm: After transactions have been submitted to SIAC's DataTrak system for processing, a confirmation (Figure 8) is returned to the submitter.


1DTS053C0 RUN DATE 04/13/04 DATATRAK SYSTEM PAGE 001

RUN TIME 11:01:02 55 WATER STXXNEW YORK NY 10041

0 INPUT PROGRAM TRANSMISSION STATUS REPORT

0 STATUS - INPUT RECEIVED BY SIAC'S DATATRAK SYSTEM

0 DETAIL RECORDS RECEIVED 5

0 HEADER RECORD RECEIVED

FIGURE 7. DATATRAK SEND CONFIRMATION

Sent Batches Page

View

(To view a batch sent to the DataTrak system)

Click on a hyperlink in the **Batch Number** column.

A detailed batch list will appear.

To view another batch from a specific **Sent Batch** page, click on the **Back** button to return to the general **Sent Batches** page.

Click on another batch number from the list.

Re-send

(To re-send a rejected batch; or a batch lost during transmission)

Click on the **Re-send** check box to the right of each batch.

Click on the **Re-send** button.

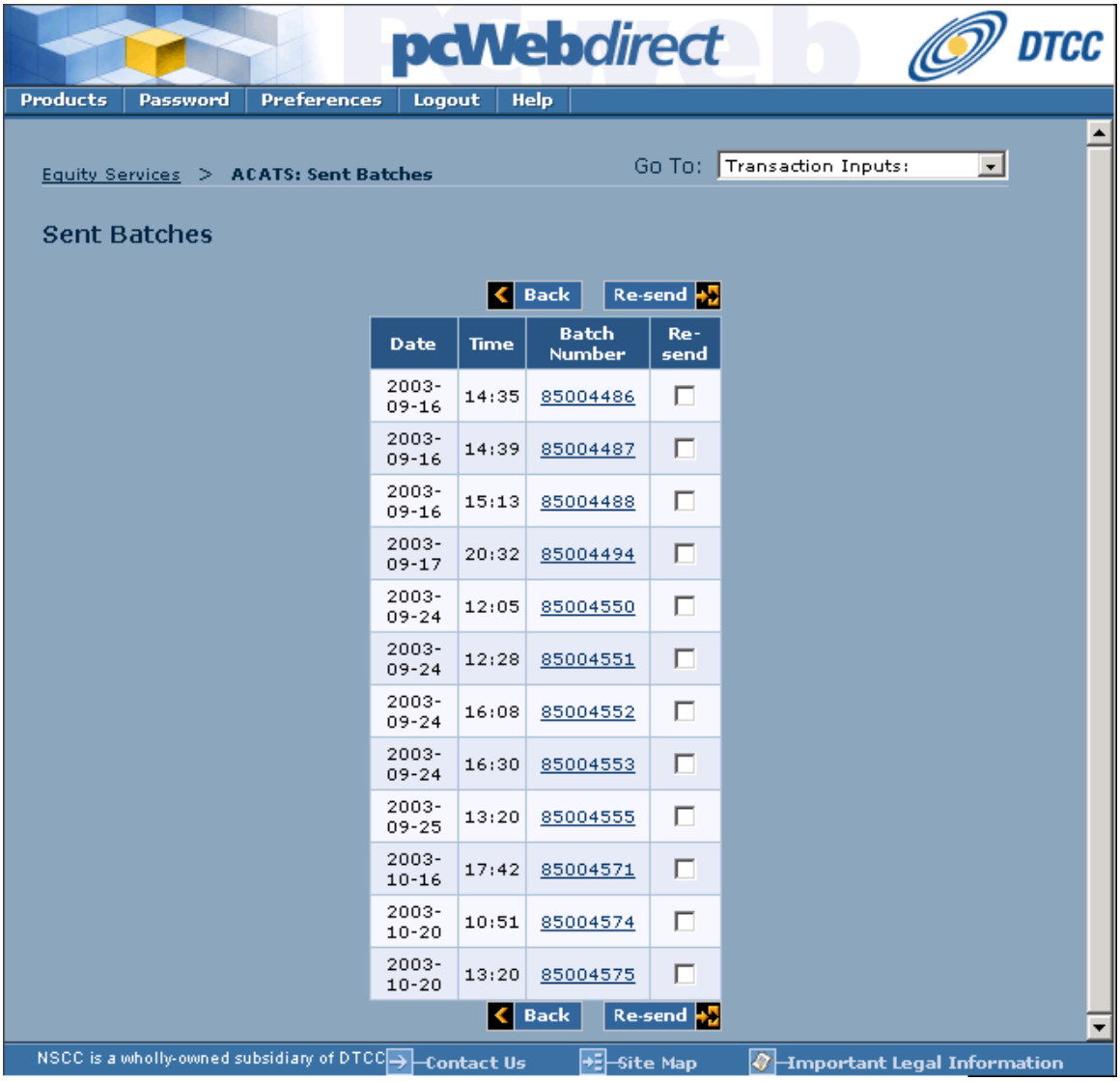


FIGURE 8. ACATS SENT BATCHES PAGE

Reports

PCWeb Direct receives and processes two types of output files from the mainframe:

- **Confirm files:** The DataTrak system generates and sends confirm files for input received from the user.
- **Reports** The AutoRoute system generates and sends report files to the user.

  There are two types of reports:

  - MRO - Machine Readable Output: MRO files can be viewed by clicking on **Data** from the

Home page menu (Figure 10).

- Print image files. All print-image reports can be viewed and printed, or saved as a file.

Table 3 contains a list of available print reports and their descriptions.

TABLE 3. PRINT REPORTS

Report Name	Description of Reports
Settling Organization Interface Rejects	Settling Organization Reject Report Beginning of Day Settling Organization Receive and Deliver Instructions Beginning of Day
Transaction Activity	Multicycle Member Transaction Report(s) Every Cycle
Multi-Cycle Transaction Activity	Multicycle Member Transaction Report(s) Every Cycle
ACATS Fund/SERV Statistical Report	ACATS Fund/SERV Member Firm Reports Midday ACATS Fund/SERV Deliver Instruction Midday ACATS Fund/SERV Receive Instruction Midday
ACATS Position	EOD Member Transaction Report
ACATS Settlement	Settlement and Option Report(s) EOD ACATS Deliver Instruction EOD ACATS Receive Instruction EOD

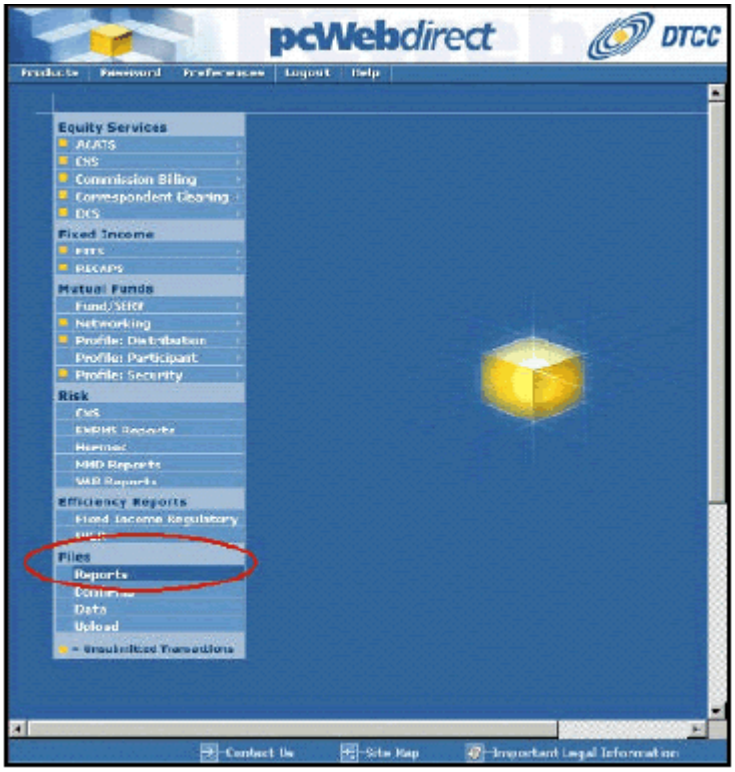


FIGURE 9. HOME PAGE – FOCUS ON FILES SECTION

View, Print and Save

4 To view your reports, click on **Reports** from the **Files** section of the Home page menu (see Figure 10).

5 If you are a Branch Office, you need to select your participant number (Figure 11):

FIGURE 10. PARTICIPANT SELECTION PAGE

The Reports page for that participant appears (Figure 12). The Reports page contains a list of all reports available for the selected participant.

If you are a participant, you will be brought directly to the Reports page (Figure 12).

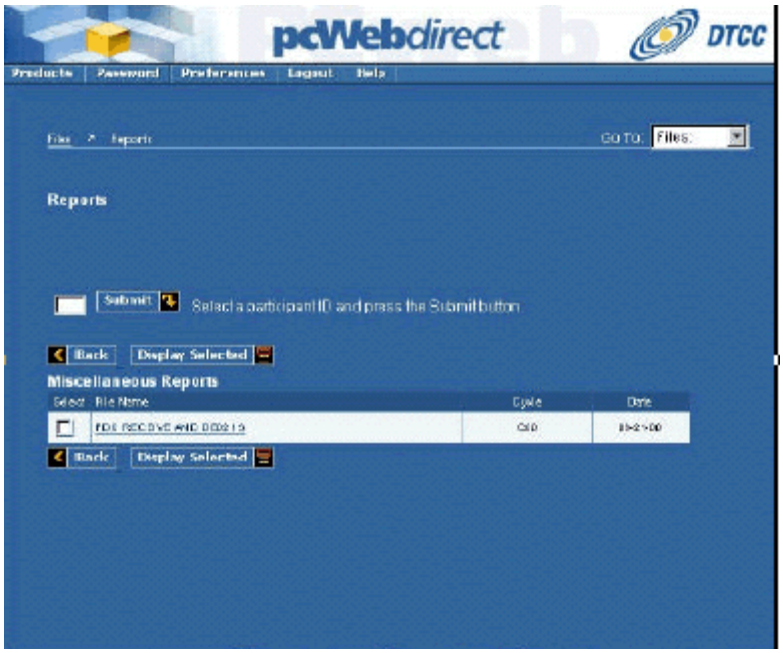


FIGURE 11. REPORTS PAGE

Viewing a Report

1. Click the check box to the left of any report you want to view. You can select more than one report.
2. Click **Display Selected** to display the selected report(s)

Note: Reports are available at different times of the day. If a specific report does not appear at the expected time, please check at a later time.

Refresh Page / Reload

To make sure that the Reports page has been refreshed with new data, click on your browser's **Reload** button.

If any new reports were generated, the page is updated with the new information.

Print

Reports are sorted by product. To view and print a report:

1. Click a hyperlink from the product report list.
6. Select the **Print** option from your browser's **File** drop-down menu.

If you are printing to a laser jet printer, set the configuration to print in landscape and compressed mode on 8 ½ x 11 (letter size) paper.

Larger files and reports must be downloaded even if you only want to see the first or last page.

If the text wraps within a report, reduce the font.

For best results, save any large files or reports and print them using a word processor. Open the file or report in Word-Perfect or MS Word to reduce the font size and print in landscape mode.

Note: Any changes made to the font size or print mode while viewing a report/file will affect the entire browser.

For example, if the font is reduced to view large files/reports, all pages viewed through the browser will appear reduced as well.

Save

To save a report as a file on your hard drive:

1. Click on a **hyperlink** to view that report (see Figure 12).
2. Click on the **File** drop-down menu and select **Save As.**

This report is then saved locally to your PC's hard drive.

All reports are listed by product. Any report that is not part of a specific product heading will appear under the Miscellaneous Reports list.

Data

Overview

The PCWeb Direct Data option provides you with the ability to download machine-readable output (MRO) files from SIAC's AutoRoute system.

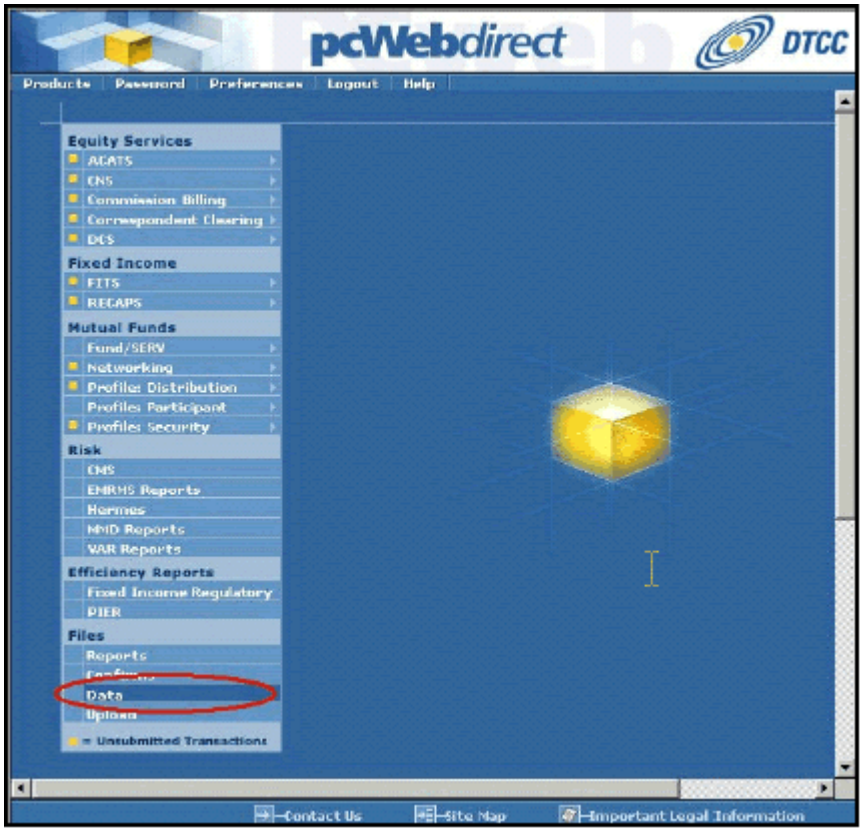


FIGURE 12. HOME PAGE – FOCUS ON FILES / DATA

Save

On the Home page, click the **Data** option under the Files heading. If there are data files in the system associated with your login ID, then these files will be listed on the **Data** page.

These files are sorted by product.

These files are machine-readable output (MRO) only; you cannot view them online, but you can save these files to a local drive on your computer.

To save an MRO file:

1. Click on the identification number for the file you want to download.

A **Save As** dialog box appears, prompting you to save the file to a local directory on your PC's hard drive.

2. Select the directory to which you want to save the file, and click **Save**.

Upload

Overview

The upload feature of PCWeb Direct was originally designed to replace the **PC – Access** capability. The upload function allows you to transmit or send an external file created from *outside* the PCWeb Direct system.

The file must be accessible on a PC from where PCWeb Direct is accessed; a user must have a digital certificate installed on the machine where the file to be uploaded is located.

When a file is uploaded, PCWeb Direct picks up the file and sends it to SIAC's DataTrak system.

All files must be in the proper DTCC format and contain a header record.

Upon receiving the file, SIAC will send a valid confirmation back to the user. Please refer to the **Confirms** section of this user guide for an explanation of DataTrak Confirmation functionality.

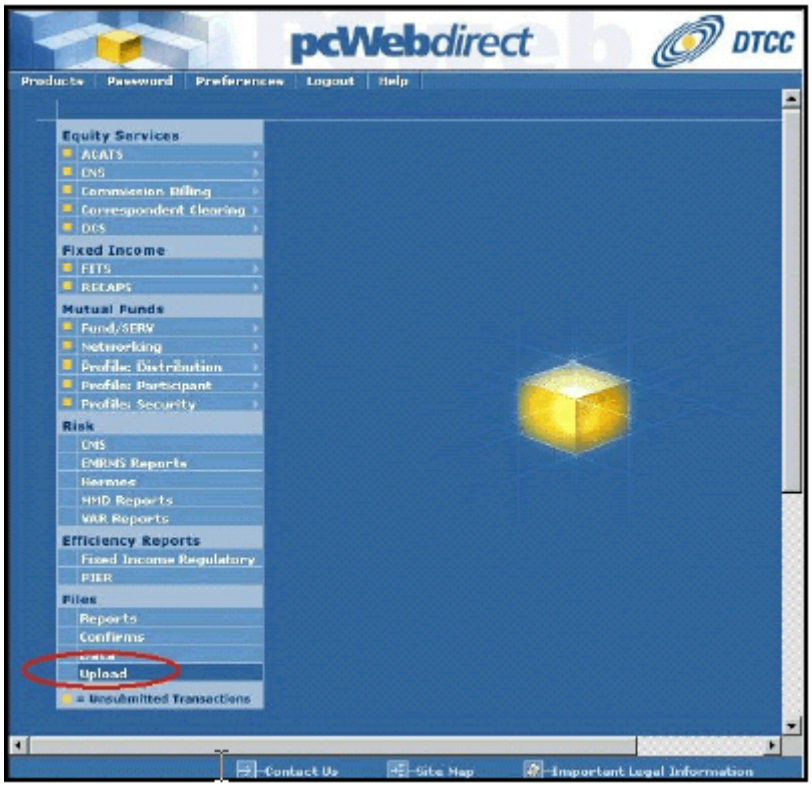


FIGURE 13. HOME PAGE – FOCUS ON FILES / UPLOAD

Input to SIAC

The **Upload** function allows you to send preformatted files from your hard drive to SIAC's DataTrak system, **one at a time**.

If multiple files need to be sent, consolidate all files into one master file. Then, send that master file to SIAC'S DataTrak system.

To send a file:

1. Click **Files / Upload** on the Home page's menu (see Figure 14). This invokes the Upload page.
2. Click **Browse** and select the file to be uploaded.

3. Click **Submit** to complete the process.

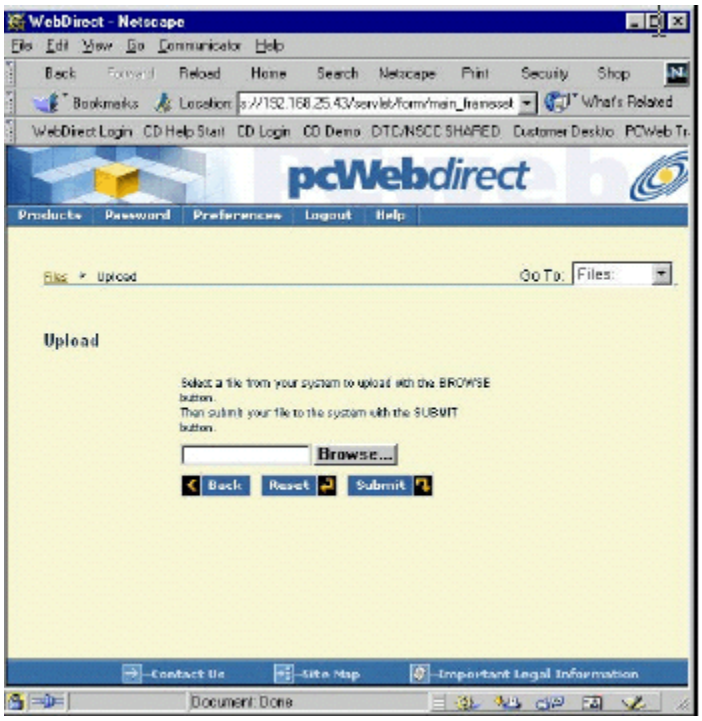

WebDirect - Netscape
File Edit View Go Communicator Help
Back Forward Reload Home Search Netscape Print Security Shop
Bookmarks Location: s://192.168.25.43/servlet/form/main_frameset What's Related
WebDirect Login CD Help Start CD Login CD Demo DTC/NSCC SHARED Customer Desktop PCWeb Tr
pcWebdirect
Products Password Preferences Logout Help
Files > Upload
Go To: Files:
Upload
Select a file from your system to upload with the BROWSE button.
Then submit your file to the system with the SUBMIT button.
Browse...
Back Reset Submit
Contact Us Site Map Important Legal Information
Document: Done

FIGURE 14. UPLOAD PAGE

INTRODUCTION TO ACATS

The Automated Customer Account Transfer Service (ACATS) automates and standardizes procedures for the transfer of assets in a customer account, from one brokerage firm and/or bank to another. The system expedites account transfers by resolving them in an automated environment.

NSCC developed ACATS in conjunction with the NYSE, its Rule 412 Task Force Committee, and the NASD to address the industry's need to reduce delays and inconsistencies associated with manual processing.

ACATS enables participants to enter, review, and settle transfers in an efficient and automated environment. The service standardizes transfer procedures, reduces operating costs, and speeds transaction settlements. Instruments handled by ACATS include equities, corporate and municipal bonds, unit investment trusts, mutual funds, options, cash, and other investment products.

ACATS facilitates the accurate and timely transfer of a customer's account, while also:

- Providing uniform time frames, standardized reporting, and automated control functions
- Debiting delivering brokers the full market value of customers' securities, promoting the timely transfer of assets. For account transfers where a bank is the contra side, ACATS delivers the assets for no charge
- Requiring the customer's Social Security/Tax Identification Numbers to enhance the ability of firms to identify individual accounts
- Providing an automated transfer initiation procedure that incorporates the industry's effort to eliminate paper documents
- Providing automated residual credit processing. This allows credits that accumulate after a transfer is completed (such as stock or cash dividends) to be transferred electronically from the delivering firm to the receiving firm through ACATS.
- Allowing easy re-registration of customers' mutual funds assets through the ACATS-Fund/SERV link.

ACATS offers several types of deliverer-initiated transactions that give participants greater control. The residual credit process, together with the following transfer types, are referred to as nonstandard transfers:

- **Residual Credit:** Allows the original deliverer to transfer to the original receiver any residual credit balances remaining in the account.
- **Fail Reversal:** Allows the original deliverer to reverse monies with the original receiver associated with an outstanding fail.
- **Reclaim:** Allows the original deliverer to initiate the return of an asset from the original receiver.
- **Partial Transfer-Receiver (PTR):** Allows the receiver to initiate a partial transfer according to the customer's instructions.

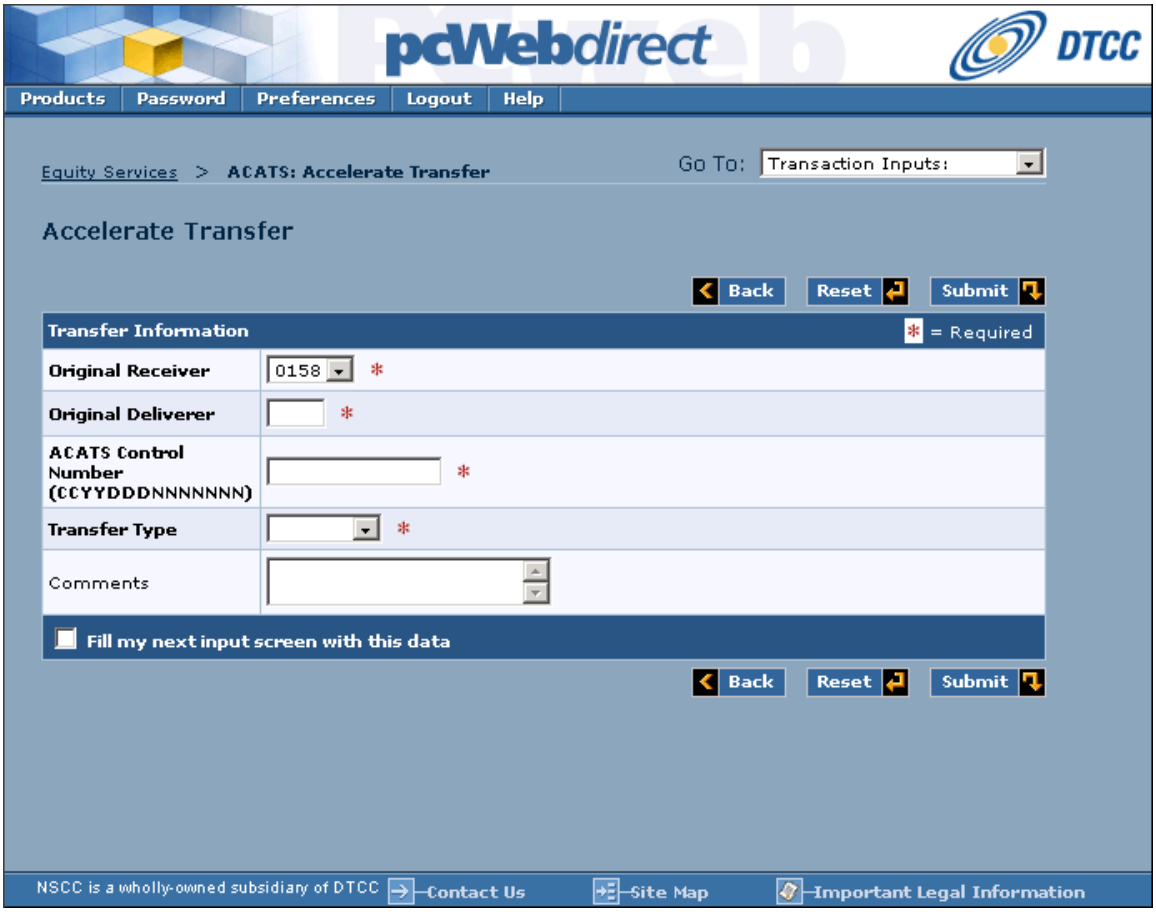
- **Partial Transfer–Deliverer (PTD):** Allows the deliverer to initiate a partial transfer according to the customer's instructions.
- **Mutual Fund Cleanup:** Allows a deliverer to clean up mutual fund assets that were included in an earlier ACATS transfer but were reregistered outside ACATS. The cleanup action will be to reverse the settlement incentive money charged to the deliverer (and credited to the receiver) when the original transfer was prepared for settlement. The deliverer must submit the new fund customer account number of the receiver and the date of the re-registration that the deliverer received from the fund as verification that the new mutual fund asset was reregistered into the receiver's account at the fund.
- **Insurance Registration:** Allows a deliverer to create an Insurance Registration (IR) record to allow broker/dealer change request information to be initiated into ACATS. Once created, the Insurance Registration (IR) record is forwarded to IPS at the end of the ACATS 24-hour review period (if a transfer is accelerated, the review period terminates the same day). IPS converts the IR record into an IFT (Inforce Transaction) record and the IFT record is sent to the insurance carrier by IPS. The insurance carrier confirms the transaction by sending IPS a customer account transfer (CAT) transaction with a status of acknowledged, hard reject (the insurance registration is rejected and must be resubmitted), or soft reject (the receiving broker can take corrective action within 20 days). IPS sends a subset of the CAT transaction to ACATS, which sends the information to the receiving and delivering broker/dealer.

For further information on ACATS, please see the product Web site at http://acats.nscc.com/

ACATS Descriptions, Page Snapshots and Field Definitions

This section contains the page snapshots excerpted from the ACATS Web help and the corresponding field definitions. For further information, please see the product Web site at http://acats.nscc.com/.

Accelerate a Transfer



ACCELERATE TRANSFER PAGE

To Accelerate a Transfer

1. On the home page menu, point to **ACATS**.

   The ACATS menu appears.

2. Click **Accelerate Transfer**.

   The Accelerate Transfer page appears.

   Notes:

   All required fields appear in **bold** followed by a red asterisk (*).

   A conditional field appears as optional until you type or select information that makes it required.

   When a field becomes required, a red asterisk (*) appears next to it, but the field name will not become **bold**.

3. Type or select information in all required fields and any applicable optional fields.

   For help with fields that appear on this page, see Accelerate Transfer Field Definitions.

4. Type comments about the transfer acceleration in the **Comments** box.
5. Check for missed required fields, such as conditional fields that may have become required during your data entry.
6. Click **Fill my next input page with this data** to add another asset with similar information.

   You can change information that differs when entering the subsequent transfer acceleration.

7. Click **Submit** to finish your transaction.
   or
   Click **Reset** to clear all data.
   or
   Click **Back** to return to the PCWeb Direct home page.

Usually, the process for full transfers requires one day for review status, one day for Settle-Prep status, and one day after that for item settlement. This process can be accelerated so that Settle-Prep occurs on the same day as review status.

Additionally, as the reclaim review period has been expanded to three days, it now can be accelerated using this page. The original receiver can elect to accelerate a reclaim transfer during the first two days of a reclaim's review period.

Accelerate Transfer Field Definitions

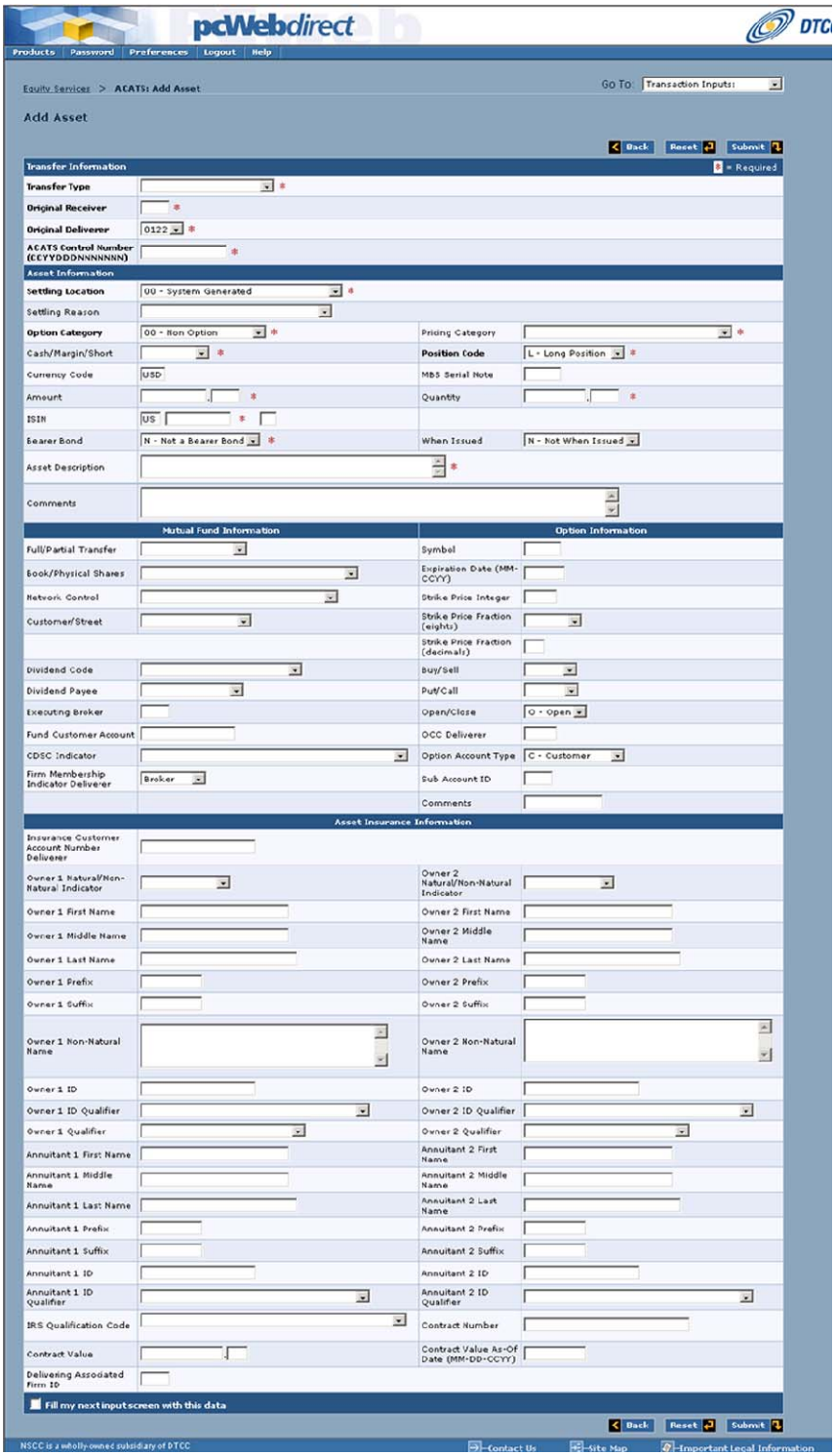
Items appear in alphabetical order. Items marked with an asterisk (*) are required.

Note that conditional fields may become required depending upon your selections in other fields. These fields will display an asterisk (*) once your selections make them required fields.

Transfer Information (TIF)	
In this field	**You can**
ACATS Control Number (CCYYDDNNNNNNN)*	Type the 14-digit ACATS control number. It appears on ACATS reports as the ACATS Control Number for the ACATS transfer associated with the current transaction. The ccyyddnnnnnnn format breaks down as follows: cc - the millennium and century of the transfer submission yy - the year of the transfer submission ddd - the Julian date of the transfer submission nnnnnnn - a system-assigned sequence number
Comments	Type any additional notes or information not already covered by the entry fields. Create line breaks by pressing ENTER. Otherwise your text will be contained on a single line.
Original Deliverer*	Type the four-digit NSCC account number for the deliverer originally indicated on the transfer.
Original Receiver*	View your participant number. If you are logged in as a service bureau, you can select the applicable participant number in this field.
Transfer Type*	Select the transfer type that is being accelerated, Full or Reclaim.

Other Page Items	
In this field	**You can**
Back	Click to return to the PCWeb Direct home page.
Fill my next input page with this data	Click to populate your next transaction page with the information you provided on this one. You can change any information that differs when entering the subsequent transaction.
Reset	Click to clear all data from the fields without submitting the transfer to PCWeb Direct.
Submit	Click to send the transfer information to PCWeb Direct.

Add an Asset



ADD ASSET PAGE

To Add an Asset

1. On the home page menu, point to **ACATS**.

   The ACATS menu appears.

2. Click **Add Asset**.

   The Add Asset page appears.

   Notes:

   All required fields appear in **bold** followed by a red asterisk (*).

   A conditional field appears as optional until you type or select information that makes it required.

   When a field becomes required, a red asterisk (*) appears next to it, but the field name will not become **bold**.

3. In the **Transfer Information** section, type or select information in all required fields and any applicable optional fields.

   For help with fields that appear on this page, see Add Asset Field Definitions.

4. In the **Asset Information** section, type or select information in all required fields and any applicable optional fields for the partial transfer.
5. If the asset is a mutual fund, type or select information in the **Mutual Fund Information** section.
   or
   If the asset is an option, type or select information in the **Option Information** section.
   or
   If the asset is neither a mutual fund nor an option, you do not have to complete either section.
6. Check for missed required fields, such as conditional fields that may have become required during your data entry.
7. Click **Fill my next input page with this data** to add another asset with similar information.

   You can change information that differs when entering the subsequent asset addition.

8. Click **Submit** to finish your transaction.
   or
   Click **Reset** to clear all data.

or

Click **Back** to return to the PCWeb Direct home page.

For nonstandard transfers, this page is used only as a result of clicking on **More Assets** at the bottom of the entry page. Any time this page is invoked independently, it refers to a standard transfer.

The deliverer's cutoff times for adding assets are:

- 2:00 PM EST (cycle 4) for a full transfer.
- 12:00 noon EST (cycle 3) for all non-standard transfers.

Many of the fields on the page are dependent upon the type of asset you are entering. Not all fields are required for all asset types. If you fill in too many fields, the system will base this entry upon the type of asset you selected (option, mutual fund, etc.) and will ignore the extraneous information.

Add Asset Field Definitions

Items appear in alphabetical order. Items marked with an asterisk (*) are required.

Note that conditional fields may become required depending upon your selections in other fields. These fields will display an asterisk (*) once your selections make them required fields.

Transfer Information (TIF)	
In this field	**You can**
ACATS Control Number (CCYYDDNNNNNNN)*	Type the 14-digit ACATS control number. It appears on ACATS reports as the ACATS Control Number for the ACATS transfer associated with the current transaction. The ccyyddnnnnnnn format breaks down as follows: cc - the millennium and century of the transfer submission yy - the year of the transfer submission ddd - the Julian date of the transfer submission nnnnnnn - a system-assigned sequence number
Original Deliverer*	Type the four-digit number for the participant that inputs assets for delivery. This field differs according to your user type: If you are logged in as a Participant, your participant number appears in this field by default If you are logged in as a Service Bureau, this field becomes a drop-down list that contains all participant numbers to which you have access If you are logged in as an NSCC Branch Office, this field is empty.

Original Receiver*	Type the four-digit number for the participant that initiates the transfer and receives the assets.
Transfer Type*	Choose whether the type of transfer to which you are adding this asset is a full transfer or a partial transfer receiver (PTR).

Asset Information	
In this field	**You can**
Amount	Type the original dollar amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, please use only two places after the decimal point; for foreign currency, please use four places after the decimal point.
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER. 0therwise your text will be contained on a single line.
Bearer Bond	Choose whether a bond is a bearer instrument.
Cash / Margin / Short	Choose whether the position is cash, margin, or short.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER. Otherwise your text will be contained on a single line.
Currency Code	Type the three-character ISO Currency Code for the asset. This field is required when the Asset Pricing Category field reads FCUR.
ISIN*	Type the International Security Identification Number, which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
MBS Serial Note	Type the three-character serial note unit number used to identify Puerto Rican mortgage-backed securities.
Option Category*	Choose the type of option entered.
Position Code*	Choose whether the position is short, long, or not applicable.
Pricing Category*	Choose an asset-pricing category. This field is required unless the requested settling location is 35 - OCC, 40 - Cash Balance, or 45 - Memo (for Cash only).
Quantity	Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.

Asset Information	
Settling Location*	Select a settling location or method if you are acting as the original deliverer. The ACATS system overrides your selection if the asset cannot settle in the requested settling location, or if the requested settling location is invalid for either the receiver or the deliverer. Firms can select the 00 - System Generated settlement location. ACATS then determines the valid asset settling location.

Asset Information	
Settling Reason	Choose the settling reason. This field is required when the settling location is 35, 40, 45, or 50. If the settling location is 35 (OCC), your options are: EXPO - Expiring Option OPT - Option USEC - Underlying Security If the settling location is 40 (Cash Balance), the valid values are: CRED - Credit Balance DEB - Debit Balance If the settling location is 45 (Memo), the valid values are: CASH - Underlying Cash Balance COMT - Comment SMA - Special Miscellaneous Accounting Value USEC - Underlying Security If the settling location is 50 (R&D), the valid values are: RSEC - Restricted Security SFK - Safekeeping XSET - Outside CNS, DTC, and Fund/SERV FCUR - Foreign Currency DDEL - Delayed Delivery
When Issued	Choose whether the asset is being transferred when issued or not when issued.

Mutual Fund Information	
In this field	**You can**
Book/Physical Shares	Choose the format of the customer assets being transferred. Click one of the following list items: 0 - In and Out Book Shares. BIN Specified. 1 - In and Out Book Shares. FIN Specified. 2 - In: Book Shares, Out: Physical. Note - The Broker Account Number (BIN) and Fund Account Number (FIN) are supplied on the Fund/SERV Transfer Record.
CDSC Indicator	Choose the Contingent Deferred Sales Charges (CDSC) indicator. Click one of the following list items: 0 - Not Applicable (if your selection in the Dividend Code field already contains information relating to the type of dividend, capital gain, and short-term capital gain) 1 - Delivering firm will provide info within Networking (if the delivering firm provides automated CDSC lot listing information) 2 - Delivering firm will provide info outside Networking (if the delivering firm provides CDSC lot listing information outside the system).
Customer/Street	Click 1 - Customer Name if the assets are registered in the customer's name or 2 - Street Name if the assets are registered in street name.
Dividend Code	Click the dividend code from an 8-item list. Each item displays the dividend code number and manner (cash or reinvestment) in which payment will be made for dividend payments, capital gains, and short-term capital gains. Example: 2 - Cash Cash Reinvest. Dividend payments - Cash Capital gains - Cash Short-term capital gains - Reinvest
Dividend Payee	Click the dividend recipient type from a list.
Executing Broker	Type the 4-digit code to identify the broker executing the delivery.
Firm Membership Indicator Deliverer	Select the type of account that is being delivered, either a Broker account or a 01 - Trust account.
Full/Partial Transfer	Click the type of transfer, either Full or Partial. This indicator refers to the asset position, and whether the entire position (full) or part of a position (partial) is being transferred.

Mutual Fund Information	
Fund Customer Account	Type the 20-character Fund Customer Account number.
Network Control Indicator	Choose how the account will be handled in Networking or indicate that it will not be networked.

Option Information	
In this field	**You can**
Buy/Sell	Indicate whether the option is a buy or a sell, according to the following rules: If you are the deliverer and the account is long an option, submit the position as a closing sell. If you are the deliverer and the account is short an option, submit the position as a closing buy. If you are the receiver of an account with a long option, it will be reflected as an opening sell. If you are the receiver of an account with a short option, it will be reflected as an opening buy. **Note:** The ACATS reports for the receiver and the deliverer will reflect the opposite for the same position. ACATS performs the flip internally.
Comments	Type a message of up to 16 characters regarding the transfer of this option.
Expiration Date	Enter the expiration date in mm-ccyy format. You must include the dashes to separate the month and four-digit year. Anything else will not register in the system.
OCC Deliverer	Enter the five-digit Options Clearing Corporation Deliverer number. This field is required only if the OCC clearing number is different from the NSCC clearing number.

Option Information	
Open/Close	Indicate whether the option is opening or closing, according to the following rules: If you are the deliverer and the account is long an option, submit the position as a closing sell. If you are the deliverer and the account is short an option, submit the position as a closing buy. If you are the receiver of an account with a long option, it will be reflected as an opening sell. If you are the receiver of an account with a short option, it will be reflected as an opening buy. **Note:** The ACATS reports for the receiver and the deliverer will reflect the opposite for the same position. ACATS performs the flip internally.
Option Account Type	Indicate whether the account is for a Customer, Firm, or Market Maker.
Put/Call	Indicate whether this is a put option or a call option.
Sub Account ID	Enter the four-digit sub account ID number.
Symbol	Enter the six-character option symbol.
Strike Price Fraction (Decimal)	Type the fraction portion of the strike price when it is expressed as a decimal. Do not use this field when expressing the fractional amount as an actual fraction.
Strike Price Fraction (Fraction)	Select the fraction portion of the strike price when it is expressed as a fraction. Do not use this field when expressing the fractional amount as a decimal.
Strike Price Integer	Enter the integer portion of the strike price for the option in numeric format (up to five digits).

Asset Insurance Information	
In this field	**You can**
Annuitant 1 First Name	Type the first name of Annuitant 1. An annuitant is an individual for whom the insurance was purchased. For example, if a husband purchased an insurance asset to insure his wife, and his children were the beneficiaries, the husband is the owner, the wife is the annuitant, and the children are the beneficiaries
Annuitant 1 ID	Type the identification number used by Annuitant 1.

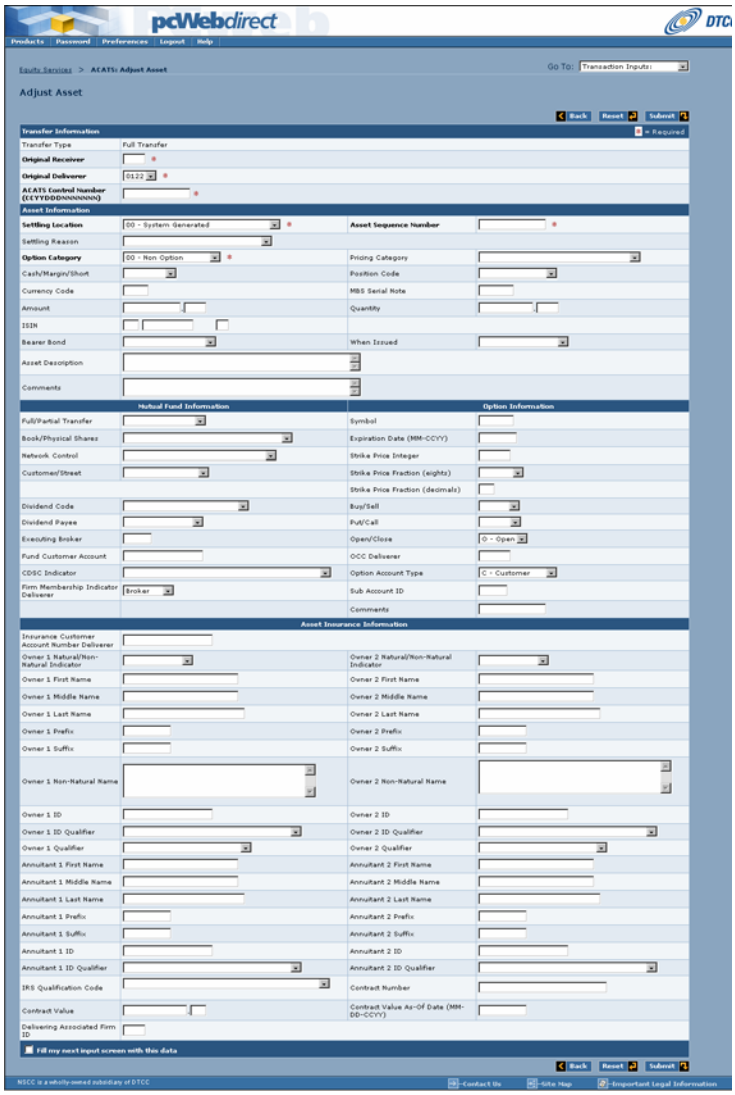
Asset Insurance Information	
Annuitant 1 ID qualifier	Select the type of identification used by Annuitant 1 that corresponds to Annuitant 1's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Annuitant 1 last name	Type the last name of Annuitant 1.
Annuitant 1 middle name	Type the middle name of Annuitant 1.
Annuitant 1 prefix	Type the title (Mr., Mrs., etc) that precedes Annuitant 1's name.
Annuitant 1 suffix	Type the title (Esq., Ph.D., etc) that follows Annuitant 1's name.
Annuitant 2 first name	Type the first name of Annuitant 2.
Annuitant 2 ID	Type the identification number used by Annuitant 2.
Annuitant 2 ID qualifier	Select the type of identification used by Annuitant 2that corresponds to Annuitant 2's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Annuitant 2 last name	Type the last name of Annuitant 2.
Annuitant 2 middle name	Type the middle name of Annuitant 2.
Annuitant 2 prefix	Type the title (Mr., Mrs., etc) that precedes Annuitant 2's name.
Annuitant 2 suffix	Type the title (Esq., Ph.D., etc) that follows Annuitant 2's name.
Contract number	Type the contract/policy number assigned by the insurance carrier.
Contract value	Type the dollar amount of the contract.

Asset Insurance Information	
Contract value as-of date (MM-DD-CCYY)	Type the last date on which the insurance contract was valued by the brokerage holding the asset. For example, some insurance assets could have underlying mutual funds or other assets with variable values and the last date these assets were valued is the date that determines the insurance contract value.
Delivering associated firm ID	Type the identification number of the delivering associated firm. The delivering associated firm is the correspondent firm of the ACATS clearing member that is processing the ACATS transaction.
Insurance customer account number deliverer	Type the account number of the customer's insurance asset at the delivering firm.
IRS qualification code	Select a code from the 26 available IRS qualification codes.
Owner 1 first name	Type the first name of Owner 1. The owner is the individual who has purchased the insurance contract.
Owner 1 ID	Type the identification number used by Owner 1.
Owner 1 ID qualifier	Select the type of identification used by Owner 1 that corresponds to Owner 1's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Owner 1 last name	Type the last name of Owner 1.
Owner 1 middle name	Type the middle name of Owner 1.
Owner 1 natural/non-natural indicator	Select: • N-Natural • X-Non-Natural Natural indicates an owner who is an individual. Non-natural indicates an owner that is an institution such as a company or trust.
Owner 1 non-natural name	Type Owner 1's non-natural name. A non-natural owner is an institution such as a company or a trust.
Owner 1 prefix	Type the title (Mr., Mrs., etc) that precedes Owner 1's name.

Asset Insurance Information	
Owner 1 Qualifier	Select a qualifier for Owner 1. A qualifier identifies Owner 1 as a person, a corporation, a trust, etc.
Owner 1 suffix	Type the title (Esq., Ph.D., etc) that follows Owner 1's name.
Owner 2 first name	Type the first name of Owner 2. A second owner is recorded when the insurance contract is purchased by more than one individual.
Owner 2 ID	Type the identification number used by Owner 2.
Owner 2 ID qualifier	Select the type of identification used by Owner 2 that corresponds to Owner 2's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Owner 2 last name	Type the last name of Owner 2.
Owner 2 middle name	Type the middle name of Owner 2.
Owner 2 natural/non-natural indicator	Select: • N-Natural • X-Non-Natural. Natural indicates an owner who is an individual. Non-natural indicates an owner that is an institution such as a company or trust.
Owner 2 non-natural name	Type Owner 2's non-natural name. A non-natural owner is an institution such as a company or a trust.
Owner 2 prefix	Type the title (Mr., Mrs., etc) that precedes Owner 2's name.
Owner 2 Qualifier	Select a qualifier for Owner 2. A qualifier identifies Owner 2 as a person, a corporation, a trust, etc.
Owner 2 suffix	Type the title (Esq., Ph.D., etc) that follows Owner 2's name.

Other Page Items	
In this field	**You can**
Back	Click to return to the PCWeb Direct home page.
Fill my next input page with this data	Click to populate your next transaction page with the information you provided on this one. You can change any information that differs when entering the subsequent transaction.
Reset	Click to clear all data from the fields without submitting the transfer to PCWeb Direct.
Submit	Click to send the transfer information to PCWeb Direct.

Adjust Asset



ADJUST ASSET PAGE

To Adjust an Asset

1. On the home page menu, point to **ACATS**.

   The ACATS menu appears.

2. Click **Adjust Asset**.

   The Adjust Asset page appears.

   Notes:

   All required fields appear in **bold** followed by a red asterisk (*).

A conditional field appears as optional until you type or select information that makes it required.
When a field becomes required, a red asterisk (*) appears next to it, but the field name will not become **bold**.

3. In the **Transfer Information** section, type or select information in all required fields and any applicable optional fields.

   For help with fields that appear on this page, see Adjust Asset Field Definitions.

4. If the asset is a mutual fund, type or select information in the **Mutual Fund Information** section.
   or
   If the asset is an option, type or select information in the **Option Information** section.
   or
   If the asset is neither a mutual fund nor an option, you do not have to complete either section.
5. Check for missed required fields, such as conditional fields that may have become required during your data entry.
6. Click **Fill my next input page with this data** to adjust another asset with similar information.

   You can change information that differs when entering the subsequent transfer adjustment.

7. Click **Submit** to finish your transaction.
   or
   Click **Reset** to clear all data.
   or
   Click **Back** to return to the PCWeb Direct home page.

This page does not support search functionality: all information must be consistent with the original entry, aside from the fields that are being edited. This creates an entirely new record that overwrites the existing asset record. The Adjust Asset function applies to full transfers only. The deliverer's cutoff time for adjusting an asset is 2:00 PM EST (cycle 4).

In order to reference the existing asset record properly, you must include the Asset Sequence Number that was provided in the reports produced by the ACATS system.

Adjust Asset Field Definitions

Items appear in alphabetical order. Items marked with an asterisk (*) are required.

Note that conditional fields may become required depending upon your selections in other fields. These fields will display an asterisk (*) once your selections make them required fields.

Transfer Information (TIF)	
In this field	**You can**
ACATS Control Number (CCYYDDNNNNNNN)*	Type the 14-digit ACATS control number. It appears on ACATS reports as the ACATS Control Number for the ACATS transfer associated with the current transaction. The ccyyddnnnnnnn format breaks down as follows: cc - the millennium and century of the transfer submission yy - the year of the transfer submission ddd - the Julian date of the transfer submission nnnnnnn - a system-assigned sequence number
Original Deliverer*	Type the four-digit number for the participant that inputs assets for delivery. This field differs according to your user type: If you are logged in as a participant, your participant number appears in this field by default If you are logged in as a Service Bureau, this field becomes a drop-down list that contains all participant numbers to which you have access If you are logged in as an NSCC Branch Office, this field is empty.
Original Receiver*	Type the four-digit number for the participant that initiates the transfer and receives the assets.
Transfer Type*	The Adjust Asset function only applies to full transfers.

Asset Information	
In this field	**You can**
Amount	Type the original dollar amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, please use only two places after the decimal point; for foreign currency, please use four places after the decimal point.
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.

Asset Sequence Number*	Type the six-digit Asset Sequence Number that was generated by the ACATS system. This number was assigned to the asset when it was originally added to ACATS.
Bearer Bond	Choose whether a bond is a bearer instrument.
Cash / Margin / Short	Choose whether the position is cash, margin, or short.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Currency Code	Type the three-character ISO Currency Code for the asset. This field is required when the Asset Pricing Category field reads FCUR.
ISIN	Type the International Security Identification Number, which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
MBS Serial Note	Type the three-character serial note unit number used to identify Puerto Rican mortgage-backed securities.
Option Category	Choose the type of option entered.
Position Code	Choose whether the position is short, long, or not applicable.
Pricing Category	Choose an asset-pricing category. This field is required unless the requested settling location is 35 - OCC, 40 - Cash Balance, or 45 - Memo (for Cash only).
Quantity	Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.

Asset Information	
Settling Location*	Select a settling location or method if you are acting as the original deliverer. The ACATS system overrides your selection if the asset cannot settle in the requested settling location, or if the requested settling location is invalid for either the receiver or the deliverer. Firms can select the 00 - System Generated settlement location. ACATS then determines the valid asset settling location.

Asset Information	
Settling Reason	Choose the settling reason. This field is required when the settling location is 35, 40, 45, or 50. If the settling location is 35 (OCC), your options are: EXPO - Expiring Option OPT - Option USEC - Underlying Security If the settling location is 40 (Cash Balance), the valid values are: CRED - Credit Balance DEB - Debit Balance If the settling location is 45 (Memo), the valid values are: CASH - Underlying Cash Balance COMT - Comment SMA - Special Miscellaneous Accounting Value USEC - Underlying Security If the settling location is 50 (R&D), the valid values are: RSEC - Restricted Security SFK - Safekeeping XSET - Outside CNS, DTC, and Fund/SERV FCUR - Foreign Currency DDEL - Delayed Delivery
When Issued	Choose whether the asset is being transferred when issued or not when issued.

Mutual Fund Information	
In this field	**You can**
Book/Physical Shares	Choose the format of the customer assets being transferred. Click one of the following list items: 0 - In and Out Book Shares. BIN Specified. 1 - In and Out Book Shares. FIN Specified. 2 - In: Book Shares, Out: Physical. Note - The Broker Account Number (BIN) and Fund Account Number (FIN) are supplied on the Fund/SERV Transfer Record.

Mutual Fund Information	
CDSC Indicator	Choose the Contingent Deferred Sales Charges (CDSC) indicator. Click one of the following list items: 0 - Not Applicable (if your selection in the Dividend Code field already contains information relating to the type of dividend, capital gain, and short-term capital gain) 1 - Delivering firm will provide info within Networking (if the delivering firm provides automated CDSC lot listing information) 2 - Delivering firm will provide info outside Networking (if the delivering firm provides CDSC lot listing information outside the system).
Customer/Street	Click 1 - Customer Name if the assets are registered in the customer's name or 2 - Street Name if the assets are registered in street name.
Dividend Code	Click the dividend code from an eight-item list. Each item displays the dividend code number and manner (cash or reinvestment) in which payment will be made for dividend payments, capital gains, and short-term capital gains. Example: 2 - Cash Cash Reinvest. Dividend payments - Cash Capital gains - Cash Short-term capital gains - Reinvest
Dividend Payee	Click the dividend recipient type from a list.
Executing Broker	Type the four-digit code to identify the broker executing the delivery.
Firm Membership Indicator Deliverer	Select the type of account that is being delivered, either a Broker account or a 01 - Trust account.
Full/Partial Transfer	Click the type of transfer, either Full or Partial. This indicator refers to the asset position, and whether the entire position (full) or part of a position (partial) is being transferred.
Full/Partial Transfer	Click the type of transfer, either Full or Partial. This indicator refers to the asset position, and whether the entire position (full) or part of a position (partial) is being transferred.
Fund Customer Account	Type the 20-character Fund Customer Account number.
Fund Customer Account	Type the 20-character Fund Customer Account number.

Mutual Fund Information	
Network Control Indicator	Choose how the account will be handled in Networking or indicate that it will not be networked.

Option Information	
In this field	**You can**
Buy/Sell	Indicate whether the option is a buy or a sell, according to the following rules: If you are the deliverer and the account is long an option, submit the position as a closing sell. If you are the deliverer and the account is short an option, submit the position as a closing buy. If you are the receiver of an account with a long option, it will be reflected as an opening sell. If you are the receiver of an account with a short option, it will be reflected as an opening buy. **Note:** The ACATS reports for the receiver and the deliverer will reflect the opposite for the same position. ACATS performs the flip internally.
Comments	Type a message of up to 16 characters regarding the transfer of this option.
Expiration Date	Enter the expiration date in mm-ccyy format. You must include the dashes to separate the month and four-digit year. Anything else will not register in the system.
OCC Deliverer	Enter the five-digit Options Clearing Corporation Deliverer number. This field is required only if the OCC clearing number is different from the NSCC clearing number.

Option Information	
Open/Close	Indicate whether the option is opening or closing, according to the following rules: If you are the deliverer and the account is long an option, submit the position as a closing sell. If you are the deliverer and the account is short an option, submit the position as a closing buy. If you are the receiver of an account with a long option, it will be reflected as an opening sell. If you are the receiver of an account with a short option, it will be reflected as an opening buy. **Note:** The ACATS reports for the receiver and the deliverer will reflect the opposite for the same position. ACATS performs the flip internally.

Option Information	
Option Account Type	Indicate whether the account is for a Customer, Firm, or Market Maker.
Put/Call	Indicate whether this is a put option or a call option.
Sub Account ID	Enter the four-digit sub account ID number.
Symbol	Enter the six-character option symbol.
Strike Price Fraction (Decimal)	Type the fraction portion of the strike price when it is expressed as a decimal. Do not use this field when expressing the fractional amount as an actual fraction.
Strike Price Fraction (Fraction)	Select the fraction portion of the strike price when it is expressed as a fraction. Do not use this field when expressing the fractional amount as a decimal.
Strike Price Integer	Enter the integer portion of the strike price for the option in numeric format (up to five digits).

Asset Insurance Information	
In this field	**You can**
Annuitant 1 First Name	Type the first name of Annuitant 1. An annuitant is an individual for whom the insurance was purchased. For example, if a husband purchased an insurance asset to insure his wife, and his children were the beneficiaries, the husband is the owner, the wife is the annuitant, and the children are the beneficiaries
Annuitant 1 ID	Type the identification number used by Annuitant 1.
Annuitant 1 ID qualifier	Select the type of identification used by Annuitant 1 that corresponds to Annuitant 1's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Annuitant 1 last name	Type the last name of Annuitant 1.
Annuitant 1 middle name	Type the middle name of Annuitant 1.
Annuitant 1 prefix	Type the title (Mr., Mrs., etc) that precedes Annuitant 1's name.
Annuitant 1 suffix	Type the title (Esq., Ph.D., etc) that follows Annuitant 1's name.
Annuitant 2 first name	Type the first name of Annuitant 2.
Annuitant 2 ID	Type the identification number used by Annuitant 2.
Annuitant 2 ID qualifier	Select the type of identification used by Annuitant 2 that corresponds to Annuitant 2's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Annuitant 2 last name	Type the last name of Annuitant 2.
Annuitant 2 middle name	Type the middle name of Annuitant 2.

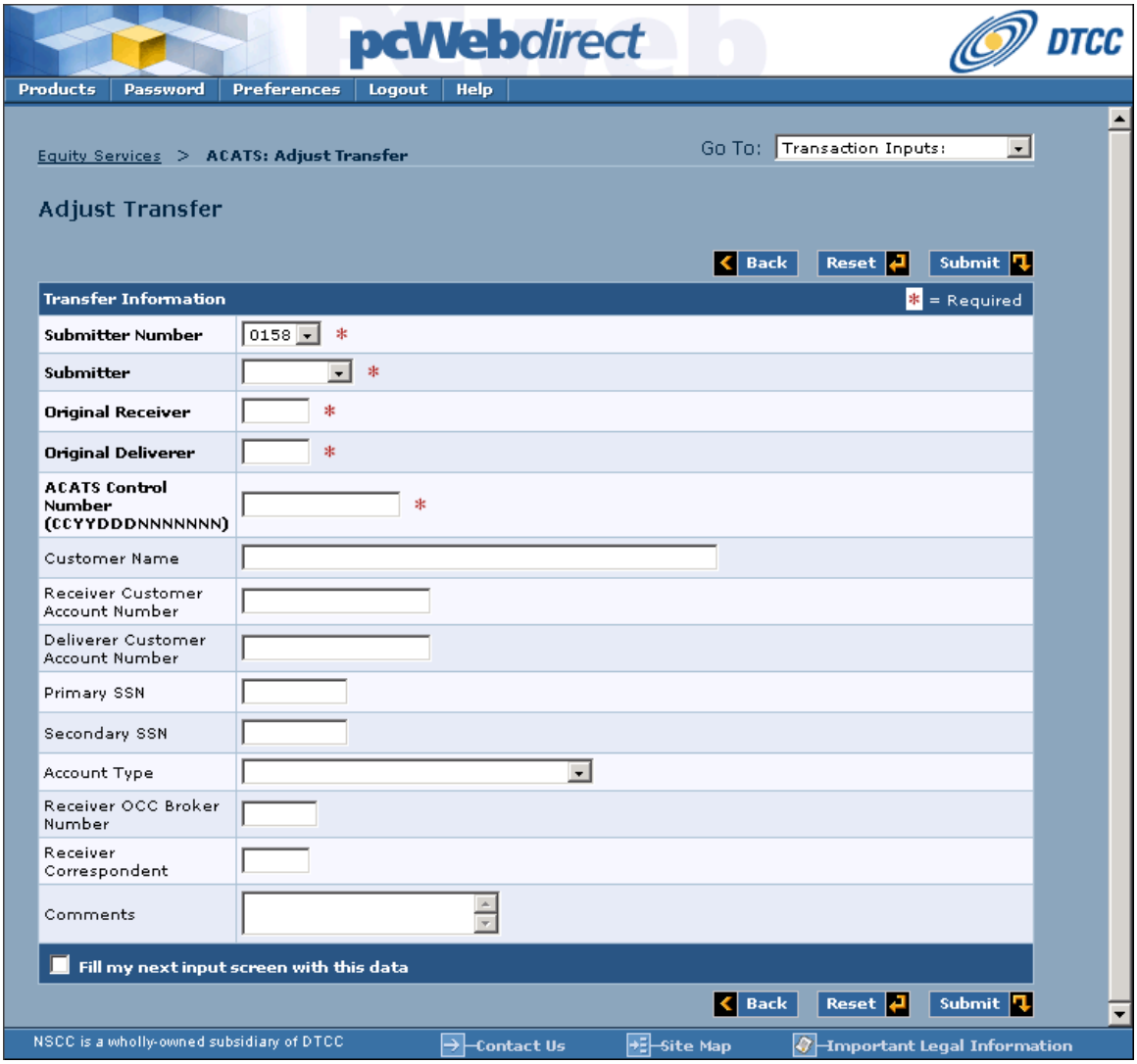
Asset Insurance Information	
Annuitant 2 prefix	Type the title (Mr., Mrs., etc) that precedes Annuitant 2's name.
Annuitant 2 suffix	Type the title (Esq., Ph.D., etc) that follows Annuitant 2's name.
Contract number	Type the contract/policy number assigned by the insurance carrier.
Contract value	Type the dollar amount of the contract.
Contract value as-of date (MM-DD-CCYY)	Type the last date on which the insurance contract was valued by the brokerage holding the asset. For example, some insurance assets could have underlying mutual funds or other assets with variable values and the last date these assets were valued is the date that determines the insurance contract value.
Delivering associated firm ID	Type the identification number of the delivering associated firm. The delivering associated firm is the correspondent firm of the ACATS clearing member that is processing the ACATS transaction.
Insurance customer account number deliverer	Type the account number of the customer's insurance asset at the delivering firm.
IRS qualification code	Select a code from the 26 available IRS qualification codes.
Owner 1 first name	Type the first name of Owner 1. The owner is the individual who has purchased the insurance contract.
Owner 1 ID	Type the identification number used by Owner 1.
Owner 1 ID qualifier	Select the type of identification used by Owner 1 that corresponds to Owner 1's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Owner 1 last name	Type the last name of Owner 1.
Owner 1 middle name	Type the middle name of Owner 1.
Owner 1 natural/non-natural indicator	Select: • N-Natural • X-Non-Natural Natural indicates an owner who is an individual. Non-natural indicates an

Asset Insurance Information	
	owner that is an institution such as a company or trust.
Owner 1 non-natural name	Type Owner 1's non-natural name.
Owner 1 prefix	Type the title (Mr., Mrs., etc) that precedes Owner 1's name.
Owner 1 Qualifier	Select a qualifier for Owner 1. A qualifier identifies Owner 1 as a person, a corporation, a trust, etc.
Owner 1 suffix	Type the title (Esq., Ph.D., etc) that follows Owner 1's name.
Owner 2 first name	Type the first name of Owner 2. A second owner is recorded when the insurance contract is purchased by more than one individual.
Owner 2 ID	Type the identification number used by Owner 2.
Owner 2 ID qualifier	Select the type of identification used by Owner 2 that corresponds to Owner 2's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Owner 2 last name	Type the last name of Owner 2.
Owner 2 middle name	Type the middle name of Owner 2.
Owner 2 natural/non-natural indicator	Select: • N-Natural • X-Non-Natural. Natural indicates an owner who is an individual. Non-natural indicates an owner that is an institution such as a company or trust.
Owner 2 non-natural name	Type Owner 2's non-natural name.
Owner 2 prefix	Type the title (Mr., Mrs., etc) that precedes Owner 2's name.
Owner 2 Qualifier	Select a qualifier for Owner 2. A qualifier identifies Owner 2 as a person, a corporation, a trust, etc.

Asset Insurance Information	
Owner 2 suffix	Type the title (Esq., Ph.D., etc) that follows Owner 2's name.

Other Page Items	
In this field	**You can**
Back	Click to return to the PCWeb Direct home page.
Fill my next input page with this data	Click to populate your next transaction page with the information you provided on this one. You can change any information that differs when entering the subsequent transaction.
Reset	Click to clear all data from the fields without submitting the transfer to PCWeb Direct.
Submit	Click to send the transfer information to PCWeb Direct.

Adjust a Transfer



ADJUST TRANSFER PAGE

To Adjust a Transfer

1. On the home page menu, point to **ACATS**.

   The ACATS menu appears.

2. Click **Adjust Transfer**.

   The Adjust Transfer page appears.

Notes:

All required fields appear in bold followed by a red asterisk (*).

A conditional field appears as optional until you type or select information that makes it required.

When a field becomes required, a red asterisk (*) appears next to it, but the field name will not become bold.

3. Type or select information in all required fields and any applicable optional fields.
4. Type comments about the transfer in the **Comments** box.
5. Check for missed required fields, such as conditional fields that may have become required during your data entry.
6. Click **Fill my next input page** with this data to adjust another transfer with similar information.

   You can change information that differs when entering the subsequent transfer adjustment.

7. Click **Submit** to finish your transaction.
   or
   Click **Reset** to clear all data.
   or
   Click **Back** to return to the PCWeb Direct home page.

The receiver normally uses the Adjust Transfer function when the deliverer has rejected the transfer request with a 24-hour ACATS reject code (codes 01-05). When the deliverer rejects the ACATS transfer request with a 24-hour reject code, the receiver has a 24-hour period to adjust the TIF information.

For standard (full) transfers:

- The receiver uses the Adjust Transfer function to adjust all TIF information fields (except the Deliverer Customer Account Number field) during the initial Request period.
- After the deliverer submits assets or rejects the transfer request by using the ACATS hard reject codes (06-09), the receiver can no longer adjust the TIF information.
- The receiver can adjust the Deliverer Customer Account Number only when the account is in Request-Reject status.
- Either the receiver or the deliverer can change the Comments field until the transfer is in Settle-Prep status.
- The deliverer can modify only the Deliverer Customer Account Number field, and only when the account is in an ACATS request stage.

On standard (full) ACATS transfers, the cutoff time for Adjust Transfer requests submitted by either the deliverer or the receiver is 4:00 P.M. EST.

No TIF adjustments are allowed for non-standard ACATS transfers. This includes residual credit transfers, fail reversals, reclaims, partial transfers (deliverer), partial transfers (receiver), custody redeliveries, and mutual fund cleanups.

Adjust Transfer Field Definitions

Items appear in alphabetical order. Items marked with a red asterisk (*) are required.

Note that conditional fields may become required depending upon your selections in other fields. These fields will display a red asterisk (*) once your selections make them required fields.

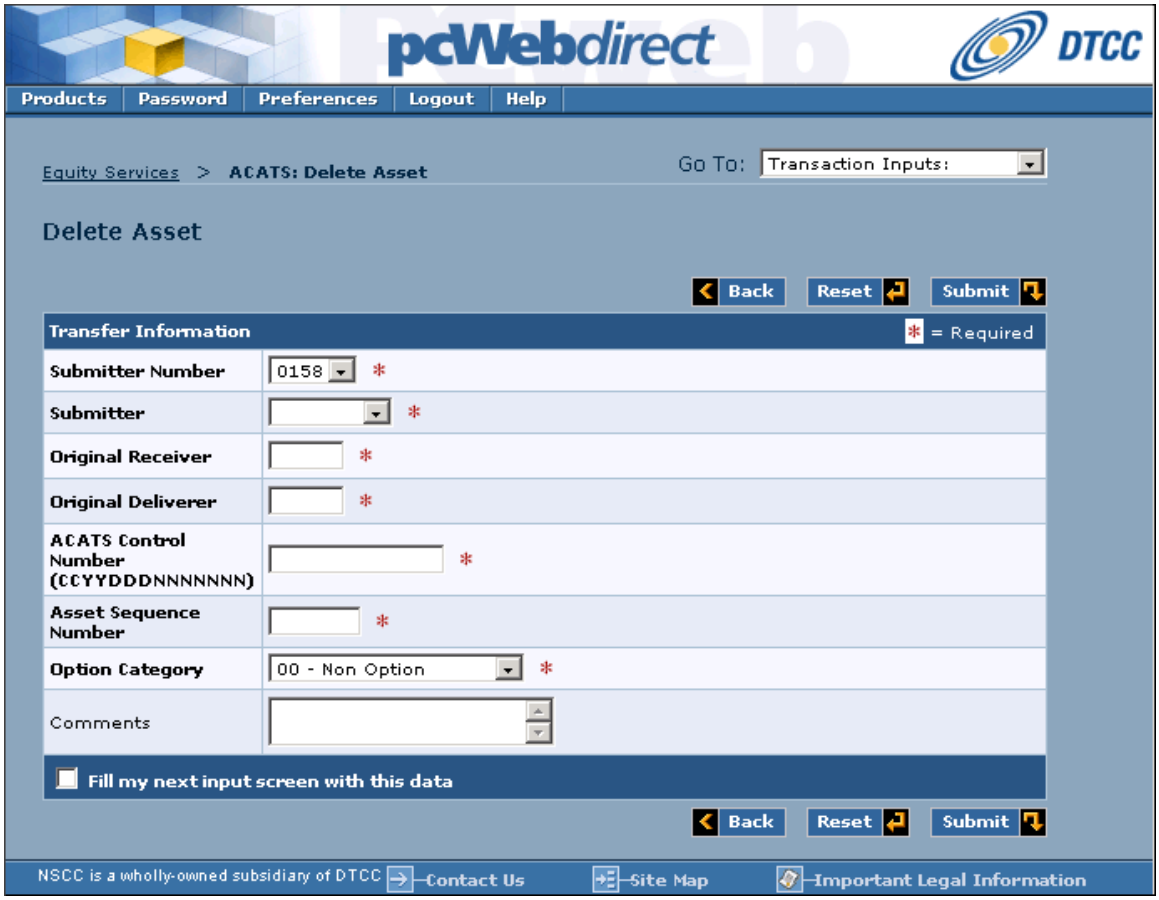
Transfer Information (TIF)	
In this field	**You can**
Account Type	Choose the customer's account type if you act as the original receiver.
ACATS Control Number (CCYYDDNNNNNNN)*	Type the 14-digit ACATS control number. It appears on ACATS reports as the ACATS Control Number for the ACATS transfer associated with the current transaction. The ccyyddnnnnnnn format breaks down as follows: cc - the millennium and century of the transfer submission yy - the year of the transfer submission ddd - the Julian date of the transfer submission nnnnnnn - a system-assigned sequence number
Comments	Type any additional notes or information about this transfer not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Customer Name	Type the customer's name. You can enter a maximum of 60 characters.
Deliverer Customer Account Number	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters. Both the receiver and the deliverer can modify this field. This is the only field that the deliverer can modify.
Original Deliverer*	Type the four-digit NSCC account number for the deliverer originally indicated on the transfer.
Original Receiver*	Type the four-digit number for the Original Receiver.
Primary SSN	Type the customer's Social Security number. Use a nine-digit numeric format without hyphens or spaces.
Receiver Correspondent	Type the four-character Receiver Correspondent number.

Receiver Customer Account Number	Type the receiver's customer account number. You can enter a maximum of 20 characters.

Transfer Information (TIF)	
Receiver OCC Broker Number	Type the five-character Receiver Options Clearing Corporation Broker number. This field is required only if the OCC clearing number is different from the NSCC clearing number.
Secondary SSN	Type the customer's secondary Social Security number if you act as the receiver. Use a nine-digit numeric format without hyphens or spaces.
Submitter Number*	Type the four-digit number for the participant submitting the transfer. This field differs according to your user type: If you are logged in as a Participant, your participant number appears in this field by default If you are logged in as a Service Bureau, this field becomes a drop-down list that contains all participant numbers to which you have access If you are logged in as an NSCC Branch Office, this field is empty.
Submitter*	Click Deliverer or Receiver.

Other Page Items	
In this field	**You can**
Back	Click to return to the PCWeb Direct home page.
Fill my next input page with this data	Click to populate your next transaction page with the information you provided on this one. You can change any information that differs when entering the subsequent transaction.
Reset	Click to clear all data from the fields without submitting the transfer to PCWeb Direct.
Submit	Click to send the transfer information to PCWeb Direct.

Delete Asset



DELETE ASSET PAGE

Deleting an Asset

1. On the home page menu, point to **ACATS**.

   The ACATS menu appears.

2. Click **Delete Asset**.

   The Delete Asset page appears.

   Notes:

   All required fields appear in bold followed by a red asterisk (*).

   A conditional field appears as optional until you type or select information that makes it required.

When a field becomes required, a red asterisk (*) appears next to it, but the field name will not become bold.

3. Type or select information in all required fields and any applicable optional fields.

   For help with fields that appear on this page, see Delete Asset Field Definitions.

4. Type comments about the asset deletion in the **Comments** box.
5. Check for missed required fields, such as conditional fields that may have become required during your data entry.
6. Click **Fill my next input page with this data** to delete another asset with similar information.

   You can change information that differs when entering the subsequent asset deletion.

7. Click **Submit** to finish your transaction.
   or
   Click **Reset** to clear all data.
   or
   Click **Back** to return to the PCWeb Direct home page.

These deliverer-side deletes are valid when:

- The account transfer is a full transfer (FUL).
- The account transfer is in the status Review, Review-adjust, Review-error, or Review-accelerate.
- Standard asset submission cutoff times are observed.

Additionally, a receiver can submit an asset delete against a full transfer (FUL). The same rules as a deliverer-side delete apply, with the following additions:

- These asset deletes are valid only when the asset has been identified as a mutual fund by the deliverer (through the asset pricing category field).
- The cutoff time for receiver-submitted asset deletes will be 4:00 PM (cycle 5).
- The transfer is automatically accelerated by submission of a receiver-side asset delete.
- When both the receiver and the deliverer submit asset deletes in the same cycle, the receiver-submitted deletes will be processed first. The account will not be accelerated.

This page does not support a search function: all information must be consistent with the original entry in order to delete the correct asset record. This entry negates the existing asset entry record in the system.

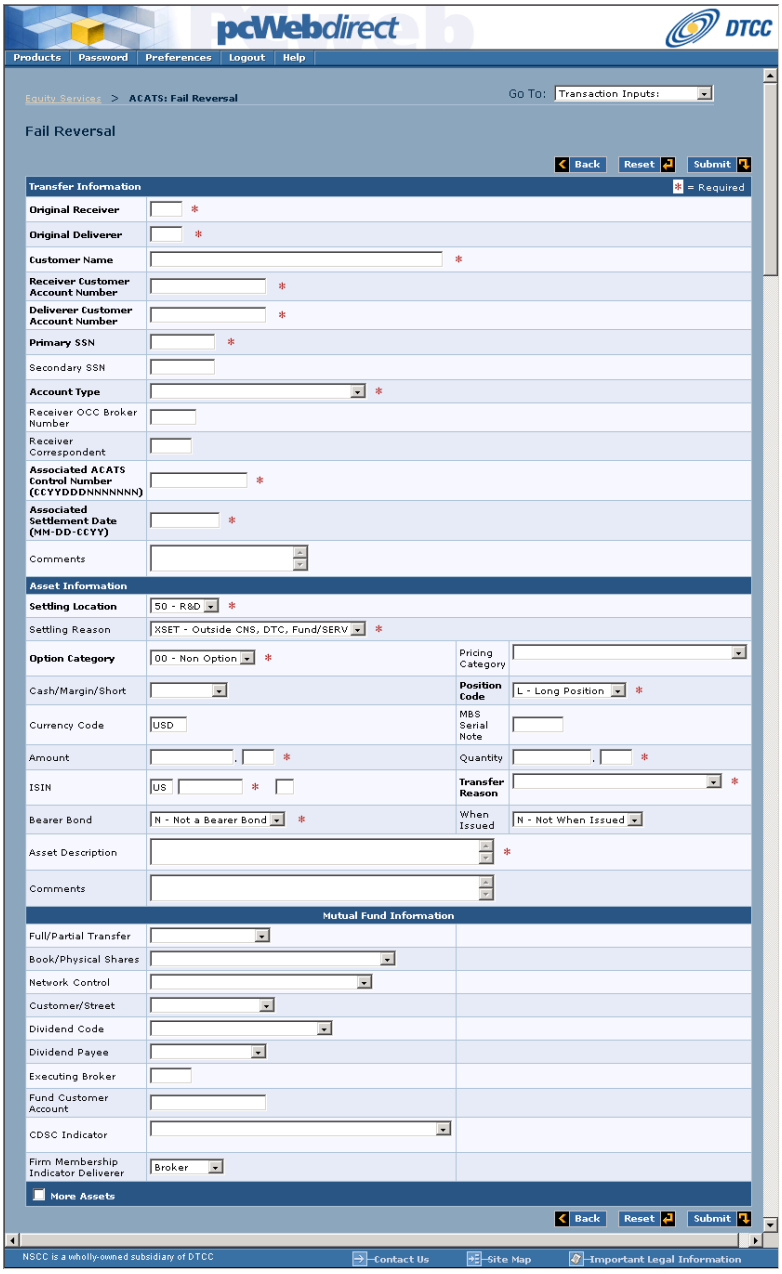
Delete Asset Field Definitions

Items appear in alphabetical order. Items marked with an asterisk (*) are required.

Note that conditional fields may become required depending upon your selections in other fields. These fields will display an asterisk (*) once your selections make them required fields.

Transfer Information (TIF)	
In this field	**You can**
ACATS Control Number (CCYYDDNNNNNNN)*	Type the 14-digit ACATS control number. It appears on ACATS reports as the ACATS Control Number for the ACATS transfer associated with the current transaction. The ccyyddnnnnnnn format breaks down as follows: cc - the millennium and century of the transfer submission yy - the year of the transfer submission ddd - the Julian date of the transfer submission nnnnnnn - a system-assigned sequence number
Asset Sequence Number*	Type the six-digit Asset Sequence Number that was generated by the ACATS system. This number was assigned to the asset when it was originally added to ACATS.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Option Category*	Choose the type of option entered, or indicate that the asset is a non-option.
Original Deliverer*	Type the four-digit number for the participant that inputs assets for delivery. This field differs according to your user type: If you are logged in as a participant, your participant number appears in this field by default If you are logged in as a Service Bureau, this field becomes a drop-down list that contains all participant numbers to which you have access If you are logged in as an NSCC Branch Office, this field is empty.
Original Receiver*	Type the four-digit number for the participant that initiates the transfer and receives the assets.

Fail Reversal



FAIL REVERSAL PAGE

Entering a Fail Reversal

1. On the home page menu, point to **ACATS**.

   The ACATS menu appears.

2. Click **Fail Reversal**.

   The Fail Reversal page appears.

   Notes:

   All required fields appear in bold followed by a red asterisk (*).

   A conditional field appears as optional until you type or select information that makes it required.

   When a field becomes required, a red asterisk (*) appears next to it, but the field name will not become bold.

3. Type or select information in all required fields and any applicable optional fields.

   For help with any fields that appear on this page, see Fail Reversal Field Definitions.

4. In the Asset Information section, type or select information in all required fields and any applicable optional fields for the asset being redelivered.
5. If the asset is a mutual fund, type or select information in the Mutual Fund Information section.

   If the asset is not a mutual fund, you do not have to complete this section.

6. Check for missed required fields, such as conditional fields that may have become required during your data entry.
7. Click More Assets to enter additional assets for this fail reversal.

   When you submit this entry, PCWeb Direct will return a page that allows you to add another asset. Click **More Assets** on each subsequent page until you have entered all assets related to this fail reversal.

8. Click **Submit** to finish your transaction.
   or
   Click **Reset** to clear all data.
   or
   Click **Back** to return to the PCWeb Direct home page.

A fail reversal occurs when the transfer of an asset from a previous transfer will not take place. The original deliverer initiates the fail reversal. The original receiver will be debited cash, and the original deliverer is credited cash. This offsets the outstanding fail monies. This type of transaction is only used for broker-to-broker transfers.

The original deliverer submits this form to request the reversal of any outstanding fail monies for an asset that could not be transferred.

This transaction is considered a nonstandard transfer. Nonstandard transfers have a shorter cycle than standard (full) transfers.

Fail Reversal Field Definitions

Items appear in alphabetical order. Items marked with an asterisk (*) are required.

Note that conditional fields may become required depending upon your selections in other fields. These fields will display an asterisk (*) once your selections make them required fields.

Transfer Information (TIF)	
In this field	**You can**
Associated ACATS Control Number*	Type the 14-digit ACATS control number of the prior associated transfer, as required. This number can be obtained from the reports produced by the ACATS system. The format is *ccyydddnnnnnn* where: *cc* = the century when the transfer was submitted *yy* = the year when the transfer was submitted *ddd* = the Julian date when the transfer was submitted *nnnnnn* = a system-assigned sequence number.
Associated Settlement Date*	Type the settlement date for the prior associated transfer in *mm-dd-ccyy* format.
Comments	Type any additional notes or information about this fail reversal not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Customer Name*	Type the customer's name. You can enter a maximum of 60 characters.
Deliverer Customer Account Number*	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.
Customer Name*	Type the customer's name. You can enter a maximum of 60 characters.
Deliverer Customer Account Number*	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.

Transfer Information (TIF)	
Original Deliverer*	View, choose, or type the four-digit membership number of the NSCC participant who was the original deliverer of the assets. This field differs according to your user type: If you are logged in as a participant, your participant number appears in this field by default. If you are logged in as a Service Bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Original Receiver*	Type the four-digit membership number of the NSCC participant that was to receive the transfer of assets.
Primary SSN*	Type the customer's Social Security number. Use a nine-digit numeric format without hyphens or spaces.
Receiver Correspondent Number	Type the four-digit Receiver Correspondent number if the receiving participant is acting on behalf of another party.
Receiver Customer Account Number*	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Receiver OCC Broker Number	Type the receiver's five-character Options Clearing Corporation Broker number. This field is required only if the OCC clearing number is different from the NSCC clearing number.
Secondary SSN	Type the customer's secondary Social Security number. Use a nine-digit numeric format without hyphens or spaces.

Asset Information	
In this field	**You can**
Amount	Type the original dollar amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, please use only two places after the decimal point; for foreign currency, please use four places after the decimal point.
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Bearer Bond	This field is locked at the value N - Not a Bearer Bond.
Cash / Margin / Short	Choose whether the position is cash, margin, or short.

Asset Information	
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Currency Code	Type the three-character ISO Currency Code for the asset. This field is required when the Asset Pricing Category field reads FCUR.
ISIN*	Type the International Security Identification Number, which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).

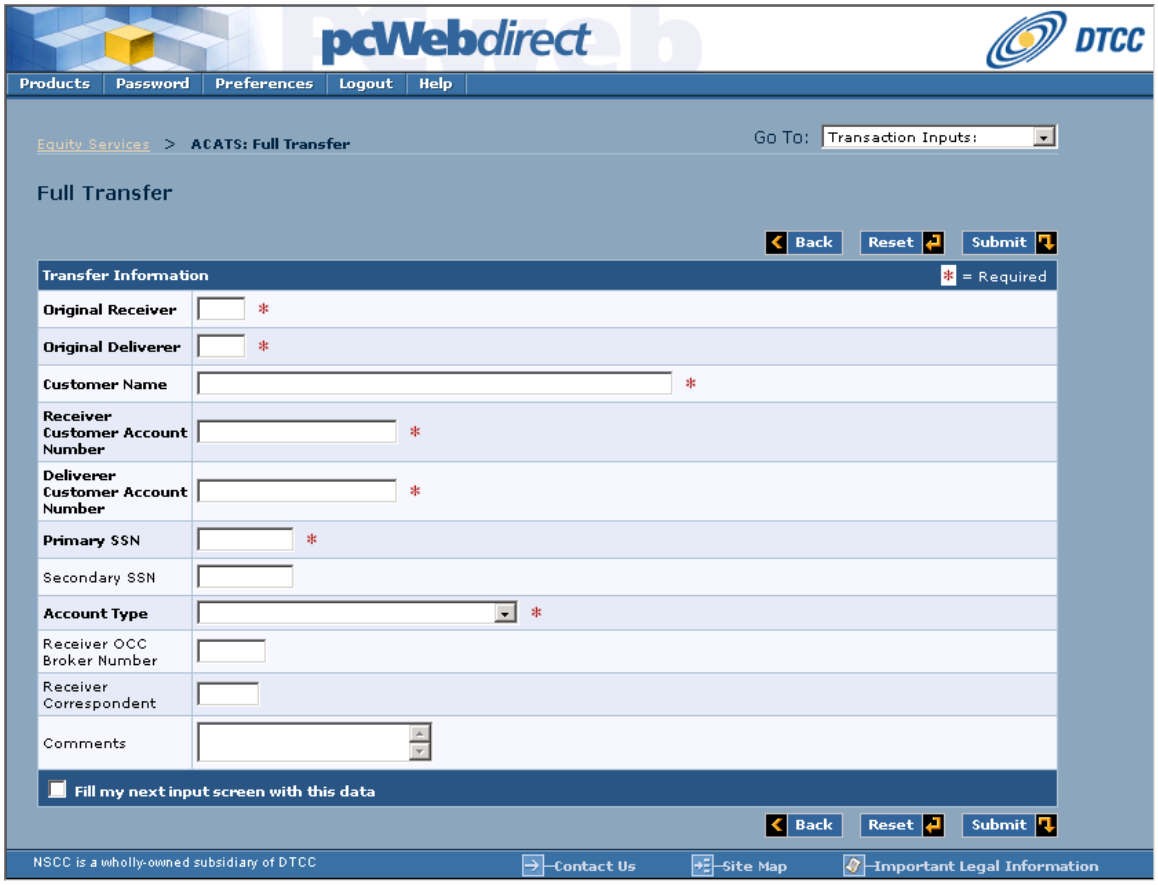
Asset Information	
MBS Serial Note	Type the three-character serial note unit number used to identify Puerto Rican mortgage-backed securities.
Option Category*	This field is locked at the value 00 - Non Option.
Position Code*	Choose whether the position is short, long, or not applicable.
Pricing Category*	Choose an asset-pricing category. This field is required unless the requested settling location is 35 - OCC, 40 - Cash Balance, or 45 – Memo (for Cash only).
Quantity	Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.
Settling Location*	The settling location for this transfer type is locked at 50 - R&D.
Settling Reason	Since the settling location is locked at 50 - R&D, the value for this field is locked at XSET - Outside CNS, DTC, and Fund/SERV.
Transfer Reason	Choose the option that represents the reason for this fail.
When Issued	This field is locked at the value N - Not When Issued.

Mutual Fund Information	
In this field	**You can**
Book/Physical Shares	Choose the format of the customer assets being transferred. Click one of the following list items: 0 - In and Out Book Shares. BIN Specified. 1 - In and Out Book Shares. FIN Specified. 2 - In: Book Shares, Out: Physical. Note - The Broker Account Number (BIN) and Fund Account Number (FIN) are supplied on the Fund/SERV Transfer Record.
CDSC Indicator	Choose the Contingent Deferred Sales Charges (CDSC) indicator. Click one of the following list items: 0 - Not Applicable (if your selection in the Dividend Code field already contains information relating to the type of dividend, capital gain, and short-term capital gain) 1 - Delivering firm will provide info within Networking (if the delivering firm provides automated CDSC lot listing information) 2 - Delivering firm will provide info outside Networking (if the delivering firm provides CDSC lot listing information outside the system).
Customer/Street	Click 1 - Customer Name if the assets are registered in the customer's name or 2 - Street Name if the assets are registered in street name.
Dividend Code	Click the dividend code from an 8-item list. Each item displays the dividend code number and manner (cash or reinvestment) in which payment will be made for dividend payments, capital gains, and short-term capital gains. Example: 2 - Cash Cash Reinvest. Dividend payments - Cash Capital gains - Cash Short-term capital gains - Reinvest
Dividend Payee	Click the dividend recipient type from a list.
Executing Broker	Type the four-digit code to identify the broker executing the delivery.
Firm Membership Indicator Deliverer	Select the type of account that is being delivered, either a Broker account or a 01 - Trust account.
Full/Partial Transfer	Click the type of transfer, either Full or Partial. This indicator refers to the asset position, and whether the entire position (full) or part of a position (partial) is being transferred.

Fund Customer Account	Type the 20-character Fund Customer Account number.
Network Control Indicator	Choose how the account will be handled in Networking or indicate that it will not be networked.

Other Page Items	
In this field	**You can**
Back	Click to return to the PCWeb Direct home page.
More Assets	Click to enter more assets to this Fail Reversal. After you submit the fail reversal, the system returns a page where you can enter another asset connected to this TIF.
Reset	Click to clear all data from the fields without submitting the transfer to PCWeb Direct.
Submit	Click to send the transfer information to PCWeb Direct.

Requesting a Full Transfer



FULL TRANSFER PAGE

Requesting a Full Transfer

The account receiver uses an ACATS Full Transfer to request a full customer account from another firm.

No specific customer assets need to be defined. The deliverer will use the *Add Asset* function to include all assets in the customer account.

1. On the home page menu, point to **ACATS**.

   The ACATS menu appears.

2. Click **Full Transfer**.

   The Full Transfer page appears.

Notes:

All required fields appear in bold followed by a red asterisk (*).

A conditional field appears as optional until you type or select information that makes it required.

When a field becomes required, a red asterisk (*) appears next to it, but the field name will not become bold.

3. Type or select information in all required fields and any applicable optional fields.
4. Type comments about the transfer in the **Comments** box.
5. Check for missed required fields, such as conditional fields that may have become required during your data entry.
6. Click **Fill my next input page with this data** to enter another full transfer with similar information.
7. You can change information that differs when entering the subsequent transfer.
8. Click **Submit** to finish your transaction.
   or
   Click **Reset** to clear all data.
   or
   Click **Back** to return to the PCWeb Direct home page.

Full Transfer Field Definitions

Items appear in alphabetical order. Items marked with an asterisk (*) are required.

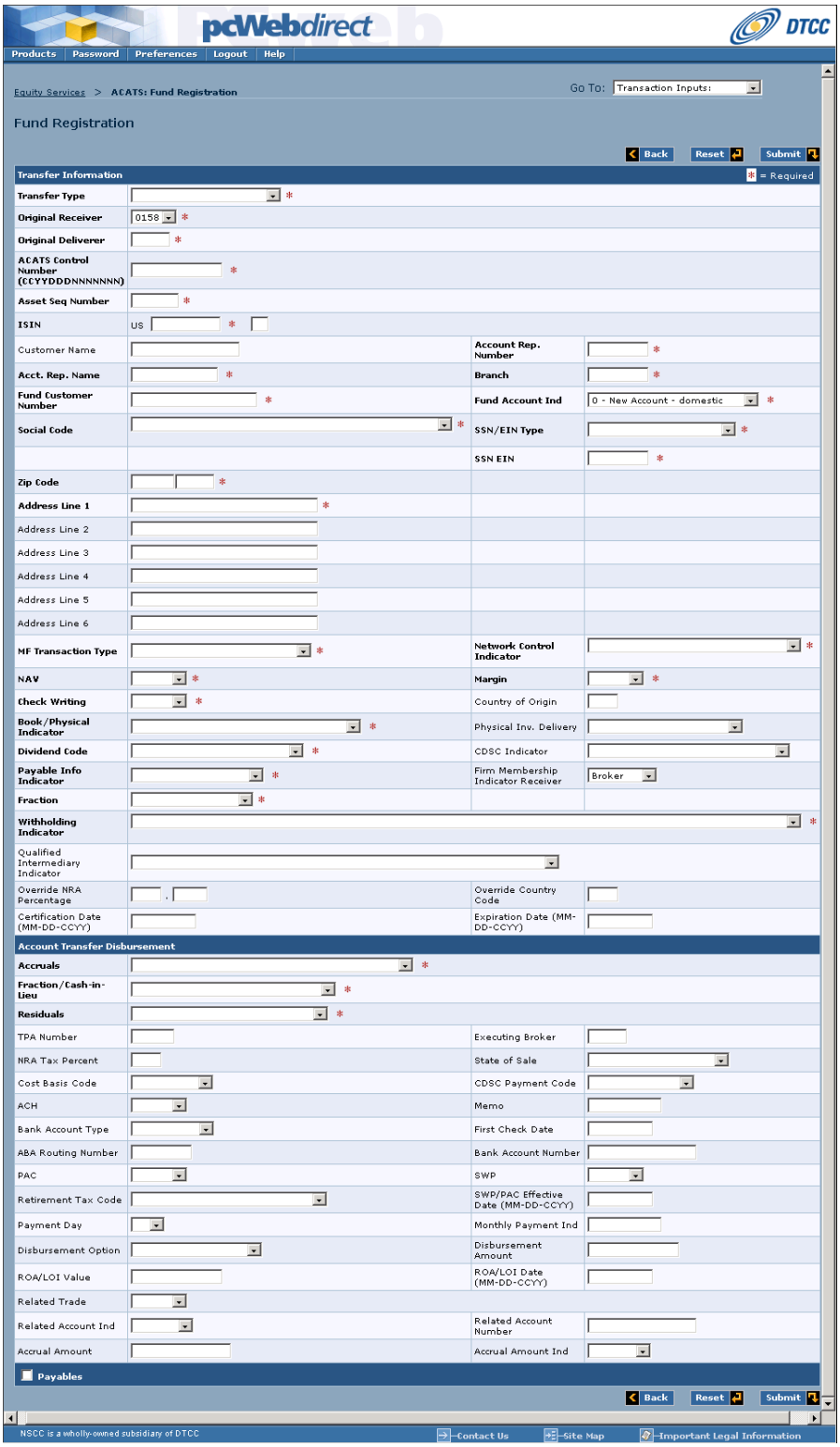
Note that conditional fields may become required depending upon your selections in other fields. These fields will display an asterisk (*) once your selections make them required fields.

Transfer Information (TIF)	
In this field	**You can**
Account Type*	Choose the customer's account type from a list if you are the original receiver.
Comments	Type any additional notes or information about this full transfer not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Customer Name*	Type the customer's name. You can enter a maximum of 60 characters.
Deliverer Customer Account Number*	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.

Original Deliverer*	View, choose, or type the four-digit membership number of the NSCC participant originally delivering the transfer of assets. This field differs according to your user type: If you are logged in as a participant, your participant number appears in this field by default If you are logged in as a Service Bureau, this field becomes a drop-down list that contains all participant numbers to which you have access If you are logged in as an NSCC Branch Office, this field is empty.
Original Receiver*	Type the four-digit membership number of the NSCC participant originally receiving the transfer of assets.
Primary SSN*	Type the customer's Social Security number. Use a nine-digit numeric format without hyphens or spaces.
Receiver Correspondent Number	Type the four-digit Receiver Correspondent number if the receiving participant is acting on behalf of another party.
Receiver Customer Account Number*	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Receiver OCC Broker Number	Type the five-character Receiver Options Clearing Corporation Broker number. This field is required only if the OCC clearing number is different from the NSCC clearing number.
Secondary SSN	Type the customer's secondary Social Security number. Use a nine-digit numeric format without hyphens or spaces.

Other Page Items	
In this field	**You can**
Back	Click to return to the PCWeb Direct home page.
Fill my next input page with this data	Click to populate your next transaction page with the information you provided on this one. You can change any information that differs when entering the subsequent transaction.
Reset	Click to clear all data from the fields without submitting the transfer to PCWeb Direct.
Submit	Click to send the transfer information to PCWeb Direct.

Fund Registration



FUND REGISTRATION PAGE

Registering a Mutual Fund

Use the Fund Registration Input page to re-register a mutual fund. The receiving firm initiates this action upon being notified that it will receive a mutual fund asset with a settling location of 10 - Fund/SERV. After the receiving firm submits the fund registration, ACATS passes the entry to the Fund/SERV system, which in turn passes it to the fund.

1. On the home page menu, point to **ACATS**.

   The ACATS menu appears.

2. Click **Fund Registration**.

   The Fund Registration page appears.

   Notes:

   All required fields appear in bold followed by a red asterisk (*).

   A conditional field appears as optional until you type or select information that makes it required.
   When a field becomes required, a red asterisk (*) appears next to it, but the field name will not become bold.

3. In the Transfer Information section, type or select information in all required fields and any applicable optional fields.
4. In the Account Transfer Disbursement section, type or select information in all required fields and any applicable optional fields for the fund registration.
5. Check for missed required fields, such as conditional fields that may have become required during your data entry.
6. To add a payable address, click **Payables** at the bottom of the page before clicking Submit.
7. Click **Submit** to finish your transaction.
   or
   Click **Reset** to clear all data.
   or
   Click **Back** to return to the PCWeb Direct home page.

In ACATS, the receiver of the transfer is responsible for submitting mutual fund registrations. The receiver must submit the fund registration to ACATS while the account is in Review status. If ACATS has not received a fund registration for a mutual fund asset with a settling location of 10 - Fund/SERV by the end of the review period, ACATS will generate a default registration and send the default registration to the fund.

The ACATS default registration is comprised of data fields from a firm's ACATS Default Registration Form (on file with NSCC) and asset information obtained from the deliverer.

Due to the shorter settlement cycle of non-standard ACATS transfers, the receiver must submit the fund registration information on the same day that the assets are submitted to ACATS.

Adding a Payable Address

The Payables page appears if you have clicked the Payables checkbox on the bottom of the Fund Registration page before you submitted the registration.

On this page, you can enter payable information that is not covered on the main page. This Payable Information page is optional.

To enter payable information:

1. Type all address information in the fields.
2. To add another payable address to the fund you are registering, click **More Payables** at the bottom of the page before clicking **Submit**.
3. Click **Submit** to finish your transaction. If you clicked **More Payables**, another Payables page appears.
   or
   Click **Reset** to clear all data.
   or
   Click **Back** to return to the PCWeb Direct home page.

Fund Registration Field Definitions

Items appear in alphabetical order. Items marked with an asterisk (*) are required.

Note that conditional fields may become required depending upon your selections in other fields. These fields will display an asterisk (*) once your selections make them required fields.

Transfer Information	
In this field	**You can**
ACATS Control Number (CCYYDDNNNNNNN)*	Type the 14-digit ACATS control number. It appears on ACATS reports as the ACATS Control Number for the ACATS transfer associated with the current transaction. The ccyyddnnnnnnn format breaks down as follows: cc - the millennium and century of the transfer submission yy - the year of the transfer submission ddd - the Julian date of the transfer submission nnnnnnn - a system-assigned sequence number
Account Rep. Number*	Type the mutual fund account representative's number. Maximum length for this field is nine digits.
Acct. Rep Name*	Type the mutual fund account representative's name. Maximum length for this field is 15 characters.
Address Line 1 - Address Line 6*	Type the full address for the customer. The first address line is required; use additional lines as needed. You can enter a maximum of 35 characters on each line.
Asset Sequence Number*	Type the six-digit Asset Sequence Number that was generated by the ACATS system. This number was assigned to the asset when it was originally added to ACATS.
Book/Physical Shares*	Choose the format of the customer assets being transferred. Click one of the following list items: 0 - In and Out Book Shares. BIN Specified. 1 - In and Out Book Shares. FIN Specified. 2 - In: Book Shares, Out: Physical. Note - The Broker Account Number (BIN) and Fund Account Number (FIN) are supplied on the Fund/SERV Transfer Record.
Branch*	Type the branch code associated with the receiving firm. Maximum length for this field is nine characters.
CDSC Indicator	Click the Contingent Deferred Sales Charges indicator, either 0-Not applicable or 1 - Receiving firm requires CDSC info.
Certification Date	Type the W8 Certification Date in mm-dd-ccyy format, including dashes. This field is required if you chose B, C, or D in the Withholding Indicator field.

Check Writing*	Click a list item to indicate whether or not this fund has check writing privileges.

Transfer Information	
Country of Origin	Type the two-character country code for this fund's origin. If the value of the fund account indicator is 1 - New Account - foreign or 3 - Existing Account - foreign, this field is required. Please refer to the NSCC Fund/SERV manual for a list of country codes.
Customer Name	Type the mutual fund customer name. Maximum length for this field is 20 characters. The default value is the customer name in the Transfer Input (TI) record.
Dividend Code*	Click the dividend code from an 8-item list. Each item displays the dividend code number and manner (cash or reinvestment) in which payment will be made for dividend payments, capital gains, and short-term capital gains. Example: 2 - Cash Cash Reinvest. Dividend payments - Cash Capital gains - Cash Short-term capital gains - Reinvest
Expiration Date	Type the W8 Expiration Date in mm-dd-ccyy format, including dashes. This field is required if you chose D or E in the Withholding Indicator field.
Firm Membership Indicator Receiver	Click Broker or 01-Trust to indicate whether the receiver account type is "broker" or "trust".
Fraction*	Click 1-Transfer Fraction or 2-Liquidate Fraction to indicate whether fractional share amounts should be transferred or liquidated.
Fund Account Ind*	Click a list item to indicate the account type associated with this fund.
Fund Customer Number	Type the number for the mutual fund customer. Maximum length for this field is 20 characters.
ISIN*	Type the International Security Identification Number, which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US). The default country code is US.
Margin*	Indicate whether this is a margin account by clicking the appropriate list item.

MF Transaction Type*	Click a list item to choose the type of mutual fund transaction you wish to re-register.
NAV*	Click a list item to indicate whether the fund has a Net Asset Value.

Transfer Information	
Network Control Indicator*	Click a list item to indicate how the account will be handled in Networking or to indicate that it will not be networked.
Original Deliverer*	Type the four-digit number for the participant that inputs and delivers the assets.
Original Receiver*	Type the four-digit number for the participant that initiates the transfer and receives the assets.
Override Country Code	Type the two-digit country code. Please refer to the NSCC Fund/SERV manual for a list of country codes.
Override NRA Percentage	Type the W8 Override NRA Special Rate (the foreign tax rate). Type the percentage amount to three decimal places.
Payable Info Indicator*	Click a list item to choose the location to which payments should be made.
Physical Inv. Delivery	Click a list item to indicate how you want physical securities delivered. This field is only required if you selected 2 - In: Book Shares, Out: Physical in the Book/Physical Shares field.
Qualified Intermediary Indicator	Click a list item to choose W8 Qualified Intermediary information for this fund. This field is required if you selected C - Certified foreign intermediary account (W8-IMY form on file) in the Withholding Indicator field.
Social Code*	Click a list item to indicate the type of mutual fund you are re-registering.
SSN/EIN Number*	Type either the Social Security number, the tax ID number associated with this fund or the investor EIN (Employee Identification Number), as specified in the SSN/EIN Type field.
SSN/EIN Type*	Click a list item to indicate whether the number in the SSN/EIN Number field represents an SSN or an EIN.
Transfer Type*	Click a list item to identify the type of ACATS transfer you are currently processing.

Withholding Indicator	Click a list item to choose the applicable withholding information for this fund.
Zip Code*	Type the five-digit zip code and four-digit extension for the registrant's address.

Account Transfer Disbursement	
In this field	**You can**
ABA Routing Number	Type the American Banking Association routing number used to direct monies to the customer's account.
Accruals*	Advise funds what to do with the accrual bucket during the transfer period. Select either cash to customer - delivering firm or process bucket-to-bucket transfer to receiving firm.
Accrual Amount Indicator	Select whether there is an accrual amount to be added as per the Add Accrual Amount field.
ACH	Indicate if an account utilizes the Automated Clearing House (ACH) for disbursement of funds.
Add Accrual Amount	Type the dollar value amount in relation to accruals (mutual fund dividends).
Bank Account Number	Type the bank account number to be used for disbursement.
Bank Account Type	Select the applicable type of bank account to which this disbursement is payable - checking, savings, or other.
CDSC Payment Code	Indicate if a systematic withdrawal or preauthorized check payment should be processed gross or net of any deferred sales charge.
Cost Basis Code	Select the cost basis method that the receiving firm wants the fund to use when handling liquidations. Please note that not all mutual funds offer this option.
Disbursement Amount	Type the actual amount to be disbursed on a monthly basis, if applicable. You can type up to 12 characters.
Disbursement Option	Select the actual disbursement method taken during the transfer period for the accrual bucket, residuals and cash-in-lieu resulting from fractional shares.
Executing Broker	Type an identifying symbol/number for the executing broker.

First Check Date	Type the date to issue the first check for SWP or PAC payments in ccyymmdd format.
Fraction/Cash-in-Lieu*	Select the method for handling fractional shares during the transfer period. Select either to accept fractional shares of a mutual fund or to liquidate the fractional shares and accept cash in lieu of the fractions.

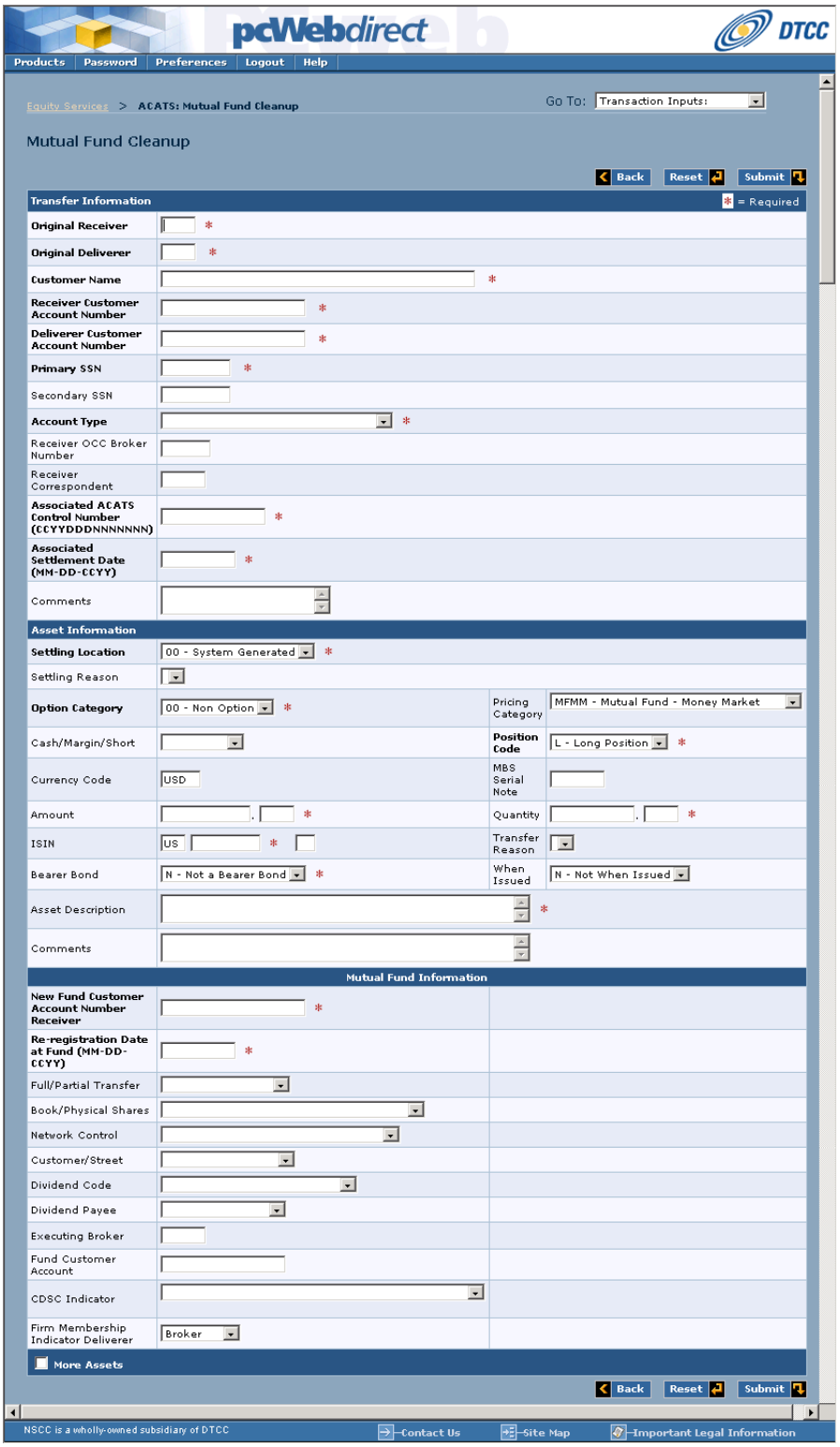
Account Transfer Disbursement	
Memo	Type up to 12 characters of additional information.
Monthly Payment Ind	Type the monthly payment indicator. You can type up to 12 characters.
NRA Tax Percent	Type the percentage of tax to be withheld based on a non-resident's country of origin.
PAC	Select whether this fund will use pre-authorized checks. PAC allows drafts to be drawn against a shareholder's bank account for the purpose of purchasing fund shares on a regular basis.
Payment Day	Select the day of the month on which payments are to be made to the bank account specified on this registration. You can also select L for the last day of the month, or N for Normal.
Related Account Ind	Select Fund or Firm to indicate what type of account corresponds to the Related Account Number field.
Related Account Number	Type the number of the fund or firm account related to this registration. You can type up to 20 characters.
Related Trade	Select Yes or No to indicate if there is a trade related to this registration.
Residuals*	Advise funds what to do with residual credits that hit the account during the transfer period.
Retirement Tax Code	Select the appropriate code for reason of retirement related to this registration. This reason determines how monies disbursed from this fund will be taxed.
ROA/LOI Date	Type the effective date of the Rights of Accumulation or Letter of Intent.

ROA/LOI Value	Type the amount of the Rights of Accumulation or Letter of Intent. An ROA is a cumulative discount accorded by the fund when a customer's aggregate purchases of fund shares reach a certain level. A LOI is a promise by a mutual fund shareholder to invest a specified sum of money monthly for about a year. In return, the shareholder is entitled to lower sales charges.
State of Sale	Select the state in which the sale was executed. This is for taxation reasons.

Account Transfer Disbursement	
SWP	Select whether the shareholder will participate in the Systematic Withdrawal Plan. The SWP allows a shareholder to automatically liquidate shares in the account according to an agreed-upon schedule and amount.
SWP/PAC Effective Date (MM-DD-CCYY)	Enter the date in MM-DD-CCYY format on which the Systematic Withdrawal Plan or Pre-Authorized Checks withdrawal ability becomes effective.
TPA Number	Enter the number of the Third Party Administrator.

Other Page Items	
In this field	**You can**
Back	Click to return to the PCWeb Direct home page.
Payables	Click to add payable addresses to this fund registration.
Reset	Click to clear all data from the fields without submitting the transfer to PCWeb Direct.
Submit	Click to send the transfer information to PCWeb Direct.

Mutual Fund Cleanup



MUTUAL FUND CLEANUP PAGE

Entering a Mutual Fund Cleanup

Use the ACATS Mutual Funds Cleanup function to resolve the monies associated with mutual fund assets that were included in an earlier ACATS transfer, but were subsequently re-registered outside of ACATS.

To perform a mutual funds cleanup:

1. On the home page menu, point to **ACATS**.

   The ACATS menu appears.

2. Click **Mutual Fund Cleanup**.

   The Mutual Fund Cleanup page appears.

   Notes:

   All required fields appear in bold followed by a red asterisk (*).

   A conditional field appears as optional until you type or select information that makes it required.

   When a field becomes required, a red asterisk (*) appears next to it, but the field name will not become bold.

3. In the Transfer Information section, type or select information in all required fields and any applicable optional fields.
4. In the Asset Information section, type or select information in all required fields and any applicable optional fields.
5. In the Mutual Fund Information section, type or select information in all required fields and any applicable optional fields for the asset being cleaned up.
6. Check for missed required fields, such as conditional fields that may have become required during your data entry.
7. Click More Assets to enter additional assets for this mutual fund cleanup.

When you submit this entry, PCWeb Direct will return a page that allows you to add another asset. Click **More Assets** on each subsequent page until you have entered all assets related to this mutual fund cleanup.

8. Click **Submit** to finish your transaction.
   or
   Click **Reset** to clear all data.

or

Click **Back** to return to the PCWeb Direct home page.

The "cleanup" action that this page performs is to reverse the settlement incentive money charged to the deliverer (and credited to the receiver) when the original transfer was prepared for settlement.

The deliverer will provide the new Fund Customer Account Number of the receiver, which the deliverer has received from the fund, as verification that the new Mutual Fund asset has been re-registered into the receiver's account at the fund.

This transaction is considered a non-standard transfer. Non-standard transfers have a shorter cycle than standard (full) transfers. The cutoff time will be 12:00 noon EST.

The receiver can reject the cleanup transaction on the same day it is entered only. A reject code (27) has been created for this purpose. If the Cleanup is not rejected, the transfer will move to the status Settle-close at end of day. The assets within the Cleanup will not settle.

Cutoff time for the reject is 4:00 PM eastern time. No other actions by the deliverer or receiver are allowed.

The settling location of all assets within a Mutual Fund Cleanup transfer will be set to 50 - NSET. The settlement location code on the PCWeb page is locked at the value 00 - System Generated, from which ACATS will assign the settlement code 50 - R&D.

Mutual Fund Cleanup Field Definitions

Items appear in alphabetical order. Items marked with an asterisk (*) are required.

Note that conditional fields may become required depending upon your selections in other fields. These fields will display an asterisk (*) once your selections make them required fields.

Transfer Information (TIF)	
In this field	**You can**
Account Type*	Choose the customer's account type if you act as the original deliverer.
Associated ACATS Control Number*	Type the 14-digit ACATS control number of the prior associated transfer, as required. This number can be obtained from the reports produced by the ACATS system. The format is *ccyydddnnnnnn* where: *cc* = the century when the transfer was submitted *yy* = the year when the transfer was submitted *ddd* = the Julian date when the transfer was submitted *nnnnnn* = a system-assigned sequence number.
Associated Settlement Date*	Type the settlement date for the prior associated transfer in *mm-dd-ccyy* format.
Comments	Type any additional notes or information about this mutual fund cleanup not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Customer Name*	Type the customer's name. You can enter a maximum of 60 characters.
Deliverer Customer Account Number*	Type the deliverer's customer account number. You can enter a maximum of 20 characters.
Original Deliverer*	Type the four-digit number for the participant that inputs the transaction. This field differs according to your user type: If you are logged in as a participant, your participant number appears in this field by default. If you are logged in as a Service Bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Original Receiver*	Type the four-digit number for the participant that initiated the original transfer.
Primary SSN*	Type the customer's Social Security number. Use a nine-digit numeric format without hyphens or spaces.

Transfer Information (TIF)	
Receiver Correspondent	Type the four-character Receiver Correspondent number.
Receiver Customer Account Number*	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Receiver OCC Broker Number	Type the five-character Receiver Options Clearing Corporation Broker number. This field is required only if the OCC clearing number is different from the NSCC clearing number.
Secondary SSN*	Type the customer's secondary Social Security number. Use a nine-digit numeric format without hyphens or spaces.

Asset Information	
Mutual fund cleanup is for the reversal of monies on a mutual fund asset fail.	
In this field	You can
Amount	Type the original dollar amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, please use only two places after the decimal point; for foreign currency, please use four places after the decimal point.
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.

Asset Information	
Bearer Bond	This field is locked at the value N - Not a Bearer Bond.
Cash / Margin / Short	Choose whether the position is cash, margin, or short.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Currency Code	Type the three-character ISO Currency Code for the asset.

ISIN*	Type the International Security Identification Number, which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
MBS Serial Note	Type the three-character serial note unit number used to identify Puerto Rican mortgage-backed securities.
Option Category*	This field is locked at the value 00 - Non Option.
Position Code*	This field is locked at the value L - Long Position.
Pricing Category*	Choose an asset pricing category, either MFMM - Mutual Fund - Money Market or MFNM - Mutual Fund - Non Money Market
Quantity	Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.
Settling Location*	The settling location for this transfer type is locked at 00 - System Generated. ACATS will assign a settling location of 50 - R&D
Settling Reason	Since the settling location will be assigned as 50 - R&D, the value for this field is locked at XSET - Outside CNS, DTC, and Fund/SERV.
When Issued	This field is locked at the value N - Not When Issued.

Mutual Fund Information	
In this field	**You can**
Book/Physical Shares	Choose the format of the customer assets being transferred. Click one of the following list items: 0 - In and Out Book Shares. BIN Specified. 1 - In and Out Book Shares. FIN Specified. 2 - In: Book Shares, Out: Physical. Note - The Broker Account Number (BIN) and Fund Account Number (FIN) are supplied on the Fund/SERV Transfer Record.

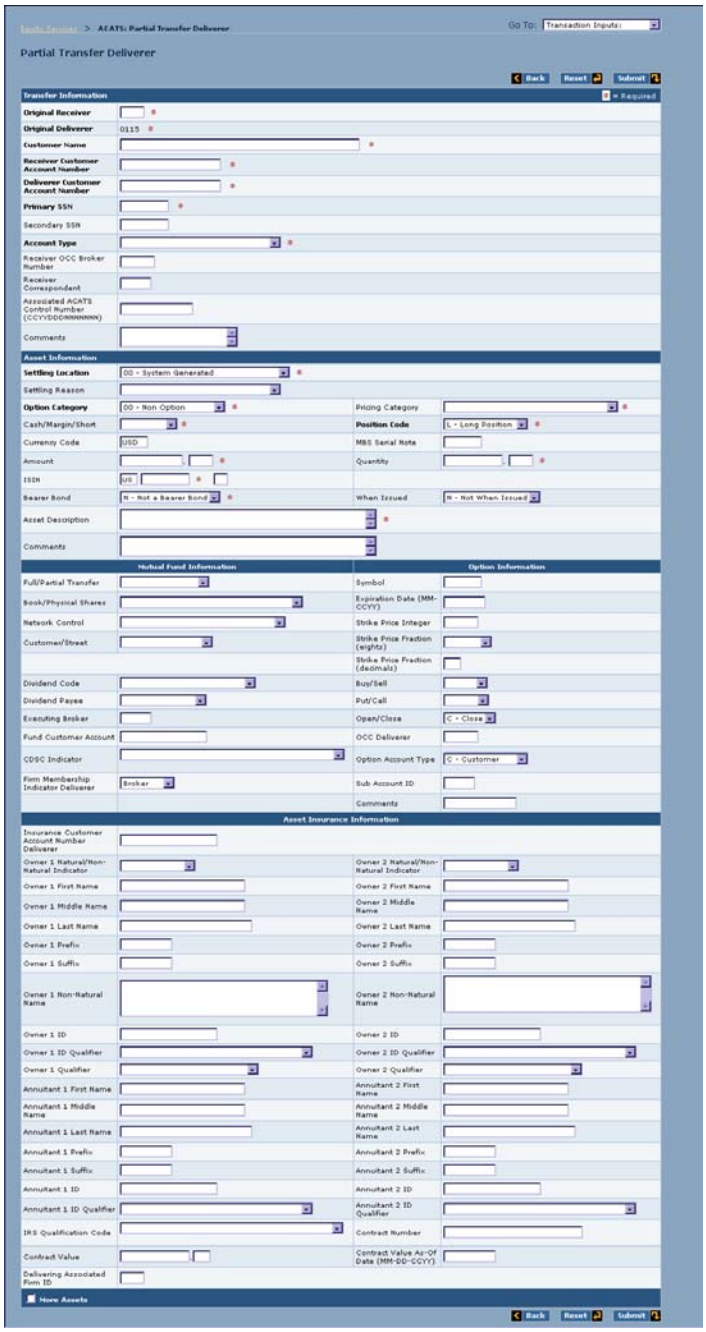
CDSC Indicator	Choose the Contingent Deferred Sales Charges (CDSC) indicator. Click one of the following list items: 0 - Not Applicable (if your selection in the Dividend Code field already contains information relating to the type of dividend, capital gain, and short-term capital gain) 1 - Delivering firm will provide info within Networking (if the delivering firm provides automated CDSC lot listing information) 2 - Delivering firm will provide info outside Networking (if the delivering firm provides CDSC lot listing information outside the system).
Customer/Street	Click 1 - Customer Name if the assets are registered in the customer's name or 2 - Street Name if the assets are registered in street name.
Dividend Code	Click the dividend code from an eight-item list. Each item displays the dividend code number and manner (cash or reinvestment) in which payment will be made for dividend payments, capital gains, and short-term capital gains. Example: 2 - Cash Cash Reinvest. Dividend payments - Cash Capital gains - Cash Short-term capital gains - Reinvest
Dividend Payee	Click the dividend recipient type from a list.
Executing Broker	Type the four-digit code to identify the broker executing the delivery.

Mutual Fund Information	
Firm Membership Indicator Deliverer	Select the type of account that is being delivered, either a Broker account or a 01 - Trust account.
Full/Partial Transfer	Click the type of transfer, either Full or Partial. This indicator refers to the asset position, and whether the entire position (full) or part of a position (partial) is being transferred.
Fund Customer Account	Type the 20-character Fund Customer Account number.
Network Control Indicator	Choose how the account will be handled in Networking or indicate that it will not be networked.

New Fund Customer Account Number Receiver*	Type the 20-character New Fund Customer Account number for the receiver. This is the new fund account at the receiver; the deliverer sends this new account number as proof that the fund is re-registered.
Re-Registration Date	Type the date on which the mutual fund asset was re-registered by the deliverer at the fund in *mm-dd-ccyy* format.

Other Page Items	
In this field	**You can**
Back	Click to return to the PCWeb Direct home page.
More Assets	Click to enter more assets to this mutual fund cleanup. After you submit this transaction, the system returns a page where you can enter another asset connected to this TIF.
Reset	Click to clear all data from the fields without submitting the transfer to PCWeb Direct.
Submit	Click to send the transfer information to PCWeb Direct.

Partial Transfer Deliverer



PARTIAL TRANSFER DELIVERER PAGE

Entering a Partial Transfer (Deliverer)

Use the ACATS Partial Transfer (Deliverer) function to request the movement of selected customer assets. The delivering firm initiates this transfer request.

1. On the home page menu, point to **ACATS**.

   The ACATS menu appears.

7 Click Partial Transfer Deliverer.

The Partial Transfer Deliverer page appears.

Notes:

All required fields appear in bold followed by a red asterisk (*).

A conditional field appears as optional until you type or select information that makes it required.

When a field becomes required, a red asterisk (*) appears next to it, but the field name will not become bold.

8 In the Transfer Information section, type or select information in all required fields and any applicable optional fields.

9 In the Asset Information section, type or select information in all required fields and any applicable optional fields for the partial transfer.

10 If the asset is a mutual fund, type or select information in the Mutual Fund Information section.
or
If the asset is an option, type or select information in the Option Information section.
or
If the asset is neither a mutual fund nor an option, you do not have to complete either section.

11 Check for missed required fields, such as conditional fields that may have become required during your data entry.

12 Click **More Assets** to enter additional assets for this partial transfer.

When you submit this entry, PCWeb Direct will return a page that allows you to add another asset. Click **More Assets** on each subsequent page until you have entered all assets related to this partial transfer.

13 Click **Submit** to finish your transaction.
or
Click **Reset** to clear all data.
or
Click **Back** to return to the PCWeb Direct home page.

The delivering participant uses the ACATS Partial Transfer Deliverer (PTD) function to indicate the assets to be transferred in a partial account transfer. This is performed by entering the full TIF and asset information into the input page.

The receiver of the PTD can reject the request by using Reject Code 23 (Reject of a Partial Transfer).

If the PTD is not rejected, it will go to settle/close status. Settlement will occur the next day.

Partial Transfer Deliverer Field Definitions

Items appear in alphabetical order. Items marked with an asterisk (*) are required.

Note that conditional fields may become required depending upon your selections in other fields. These fields will display an asterisk (*) once your selections make them required fields.

Transfer Information (TIF)	
In this field	**You can**
Account Type*	Choose the customer's account type if you are acting as the original deliverer.
Associated ACATS Control Number*	If you are responding to a partial transfer (receiver) request, type the 14-digit ACATS control number for the associated transfer, as required. This number can be obtained from the reports produced by the ACATS system. The format is *ccyydddnnnnnn* where: cc = the century when the transfer was submitted yy = the year when the transfer was submitted ddd = the Julian date when the transfer was submitted nnnnnn = a system-assigned sequence number.
Comments	Type any additional notes or information about this partial transfer (deliverer) not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Customer Name*	Type the customer's name. You can enter a maximum of 60 characters.
Deliverer Customer Account Number*	Type the deliverer's customer account number. You can enter a maximum of 20 characters.
Original Deliverer*	Type the four-digit number for the participant that inputs assets for delivery. This field differs according to your user type: If you are logged in as a participant, your participant number appears in this field by default If you are logged in as a Service Bureau, this field becomes a drop-down list that contains all participant numbers to which you have access If you are logged in as an NSCC Branch Office, this field is empty.
Original Receiver*	Type the four-digit number for the participant that will receive the assets.

Transfer Information (TIF)	
Primary SSN*	Type the customer's Social Security number. Use a nine-digit numeric format without hyphens or spaces.
Receiver Correspondent	Type the four-character Receiver Correspondent number.
Receiver Customer Account Number*	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Receiver OCC Broker Number	Type the five-character Receiver Options Clearing Corporation Broker number. This field is required only if the OCC clearing number is different from the NSCC clearing number.
Secondary SSN	Type the customer's secondary Social Security number. Use a nine-digit numeric format without hyphens or spaces.

Asset Information	
In this field	**You can**
Amount	Type the original dollar amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, please use only two places after the decimal point; for foreign currency, please use four places after the decimal point.
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Bearer Bond	Choose whether a bond is a bearer instrument.
Cash / Margin / Short	Choose whether the position is cash, margin, or short.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Currency Code	Type the three-character ISO Currency Code for the asset. This field is required when the Asset Pricing Category field reads FCUR.
ISIN*	Type the International Security Identification Number, which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).

MBS Serial Note	Type the three-character serial note unit number used to identify Puerto Rican mortgage-backed securities.

Asset Information	
Option Category*	Choose the type of option entered.
Position Code*	Choose whether the position is short, long, or not applicable.
Pricing Category*	Choose an asset-pricing category. This field is required unless the requested settling location is 35 - OCC, 40 - Cash Balance, or 45 - Memo (for Cash only).
Quantity	Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.
Settling Location*	Select a settling location or method if you are acting as the original deliverer. The ACATS system overrides your selection if the asset cannot settle in the requested settling location, or if the requested settling location is invalid for either the receiver or the deliverer. Firms can select the 00 - System Generated settlement location. ACATS then determines the valid asset settling location.

Settling Reason	Choose the settling reason. This field is required when the settling location is 35, 40, 45, or 50. If the settling location is 35 (OCC), your options are: EXPO - Expiring Option OPT - Option USEC - Underlying Security If the settling location is 40 (Cash Balance), the valid values are: CRED - Credit Balance DEB - Debit Balance If the settling location is 45 (Memo), the valid values are: CASH - Underlying Cash Balance COMT - Comment SMA - Special Miscellaneous Accounting Value USEC - Underlying Security If the settling location is 50 (R&D), the valid values are: RSEC - Restricted Security SFK - Safekeeping XSET - Outside CNS, DTC, and Fund/SERV FCUR - Foreign Currency DDEL - Delayed Delivery
When Issued	Choose W - When Issued to indicate whether the asset is a when issued security or N - Not When Issued if it is not.

Mutual Fund Information	
In this field	**You can**
Book/Physical Shares	Choose the format of the customer assets being transferred. Click one of the following list items: 0 - In and Out Book Shares. BIN Specified. 1 - In and Out Book Shares. FIN Specified. 2 - In: Book Shares, Out: Physical. Note - The Broker Account Number (BIN) and Fund Account Number (FIN) are supplied on the Fund/SERV Transfer Record.

CDSC Indicator	Choose the Contingent Deferred Sales Charges (CDSC) indicator. Click one of the following list items: 0 - Not Applicable (if your selection in the Dividend Code field already contains information relating to the type of dividend, capital gain, and short-term capital gain) 1 - Delivering firm will provide info within Networking (if the delivering firm provides automated CDSC lot listing information) 2 - Delivering firm will provide info outside Networking (if the delivering firm provides CDSC lot listing information outside the system).
Customer/Street	Click 1 - Customer Name if the assets are registered in the customer's name or 2 - Street Name if the assets are registered in street name.
Dividend Code	Click the dividend code from an eight-item list. Each item displays the dividend code number and manner (cash or reinvestment) in which payment will be made for dividend payments, capital gains, and short-term capital gains. Example: 2 - Cash Cash Reinvest. Dividend payments - Cash Capital gains - Cash Short-term capital gains - Reinvest
Dividend Payee	Click the dividend recipient type from a list.
Executing Broker	Type the four-digit code to identify the broker executing the delivery.
Firm Membership Indicator Deliverer	Select the type of account that is being delivered, either a Broker account or a 01 - Trust account.
Full/Partial Transfer	Click the type of transfer, either Full or Partial. This indicator refers to the asset position, and whether the entire position (full) or part of a position (partial) is being transferred.
Fund Customer Account	Type the 20-character Fund Customer Account number.
Network Control Indicator	Choose how the account will be handled in Networking or indicate that it will not be networked.

Option Information	
In this field	**You can**

Buy/Sell	Indicate whether the option is a buy or a sell, according to the following rules: If you are the deliverer and the account is long an option, submit the position as a closing sell. If you are the deliverer and the account is short an option, submit the position as a closing buy. If you are the receiver of an account with a long option, it will be reflected as an opening sell. If you are the receiver of an account with a short option, it will be reflected as an opening buy. **Note:** The ACATS reports for the receiver and the deliverer will reflect the opposite for the same position. ACATS performs the flip internally.
Comments	Type a message of up to 16 characters regarding the transfer of this option.
Expiration Date	Enter the expiration date in mm-ccyy format. You must include the dashes to separate the month and four-digit year. Anything else will not register in the system.
OCC Deliverer	Enter the five-digit Options Clearing Corporation Deliverer number. This field is required only if the OCC clearing number is different from the NSCC clearing number.
Open/Close	Indicate whether the option is opening or closing, according to the following rules: If you are the deliverer and the account is long an option, submit the position as a closing sell. If you are the deliverer and the account is short an option, submit the position as a closing buy. If you are the receiver of an account with a long option, it will be reflected as an opening sell. If you are the receiver of an account with a short option, it will be reflected as an opening buy. **Note:** The ACATS reports for the receiver and the deliverer will reflect the opposite for the same position. ACATS performs the flip internally.
Option Account Type	Indicate whether the account is for a Customer, Firm, or Market Maker.
Put/Call	Indicate whether this is a put option or a call option.
Sub Account ID	Enter the four-digit sub account ID number.

Option Information	
Symbol	Enter the six-character option symbol.
Strike Price Fraction (Decimal)	Type the fraction portion of the strike price when it is expressed as a decimal. Do not use this field when expressing the fractional amount as an actual fraction.
Strike Price Fraction (Fraction)	Select the fraction portion of the strike price when it is expressed as a fraction. Do not use this field when expressing the fractional amount as a decimal.
Strike Price Integer	Enter the integer portion of the strike price for the option in numeric format (up to five digits).

Asset Insurance Information	
In this field	**You can**
Annuitant 1 First Name	Type the first name of Annuitant 1. An annuitant is an individual for whom the insurance was purchased. For example, if a husband purchased an insurance asset to insure his wife, and his children were the beneficiaries, the husband is the owner, the wife is the annuitant, and the children are the beneficiaries
Annuitant 1 ID	Type the identification number used by Annuitant 1.
Annuitant 1 ID qualifier	Select the type of identification used by Annuitant 1 that corresponds to Annuitant 1's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Annuitant 1 last name	Type the last name of Annuitant 1.
Annuitant 1 middle name	Type the middle name of Annuitant 1.
Annuitant 1 prefix	Type the title (Mr., Mrs., etc) that precedes Annuitant 1's name.
Annuitant 1 suffix	Type the title (Esq., Ph.D., etc) that follows Annuitant 1's name.
Annuitant 2 first name	Type the first name of Annuitant 2.

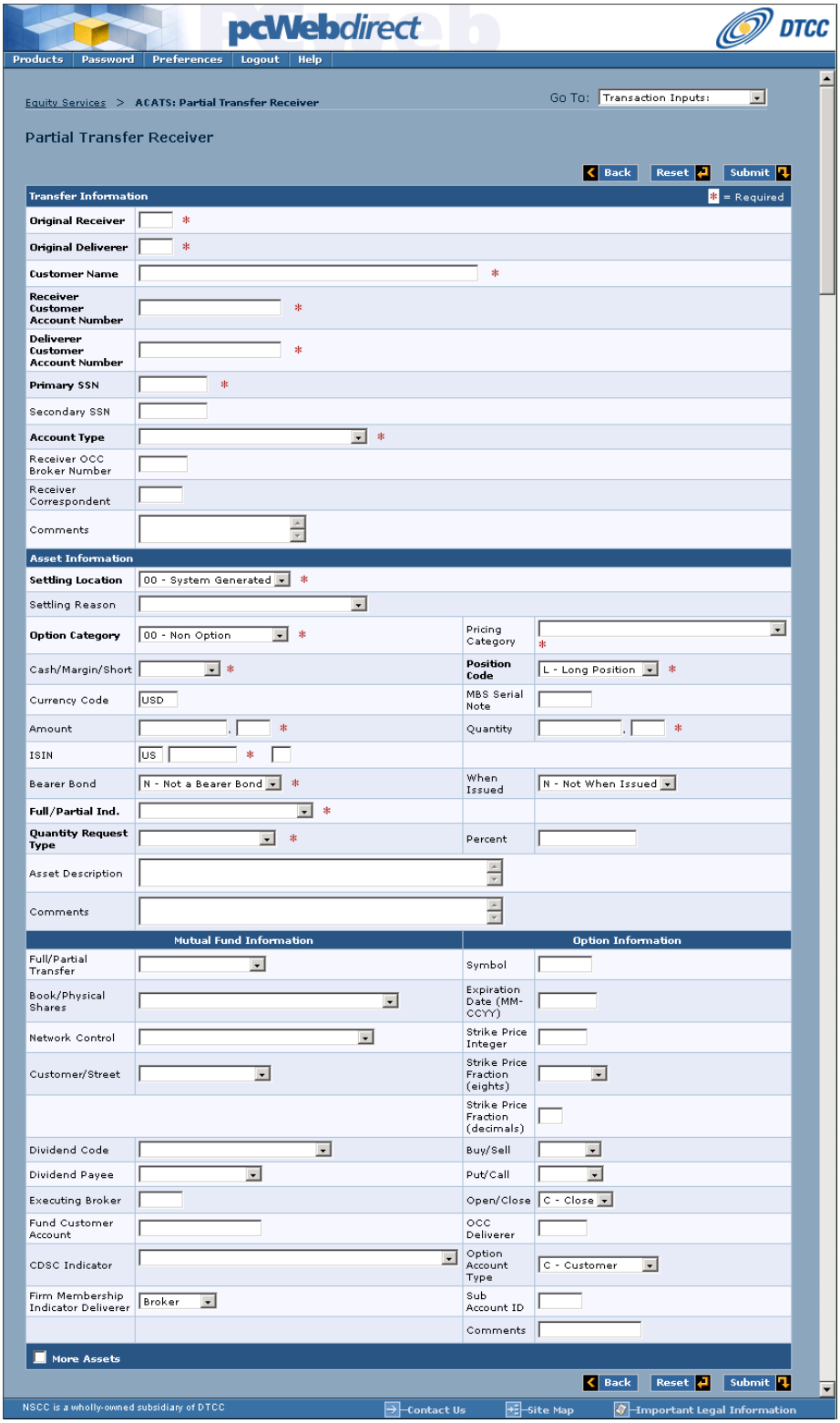
Annuitant 2 ID	Type the identification number used by Annuitant 2.
Annuitant 2 ID qualifier	Select the type of identification used by Annuitant 2 that corresponds to Annuitant 2's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Annuitant 2 last name	Type the last name of Annuitant 2.
Annuitant 2 middle name	Type the middle name of Annuitant 2.
Annuitant 2 prefix	Type the title (Mr., Mrs., etc) that precedes Annuitant 2's name.
Annuitant 2 suffix	Type the title (Esq., Ph.D., etc) that follows Annuitant 2's name.
Contract number	Type the contract/policy number assigned by the insurance carrier.
Contract value	Type the dollar amount of the contract.
Contract value as-of date (MM-DD-CCYY)	Type the last date on which the insurance contract was valued by the brokerage holding the asset. For example, some insurance assets could have underlying mutual funds or other assets with variable values and the last date these assets were valued is the date that determines the insurance contract value.
Delivering associated firm ID	Type the identification number of the delivering associated firm. The delivering associated firm is the correspondent firm of the ACATS clearing member that is processing the ACATS transaction.
Insurance customer account number deliverer	Type the account number of the customer's insurance asset at the delivering firm.
IRS qualification code	Select a code from the 26 available IRS qualification codes.
Owner 1 first name	Type the first name of Owner 1. The owner is the individual who has purchased the insurance contract.
Owner 1 ID	Type the identification number used by Owner 1.

Owner 1 ID qualifier	Select the type of identification used by Owner 1 that corresponds to Owner 1's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Owner 1 last name	Type the last name of Owner 1.
Owner 1 middle name	Type the middle name of Owner 1.
Owner 1 natural/non-natural indicator	Select: • N-Natural • X-Non-Natural Natural indicates an owner who is an individual. Non-natural indicates an owner that is an institution such as a company or trust.
Owner 1 non-natural name	Type Owner 1's non-natural name.
Owner 1 prefix	Type the title (Mr., Mrs., etc) that precedes Owner 1's name.
Owner 1 Qualifier	Select a qualifier for Owner 1. A qualifier identifies Owner 1 as a person, a corporation, a trust, etc.
Owner 1 suffix	Type the title (Esq., Ph.D., etc) that follows Owner 1's name.
Owner 2 first name	Type the first name of Owner 2. A second owner is recorded when the insurance contract is purchased by more than one individual.
Owner 2 ID	Type the identification number used by Owner 2.
Owner 2 ID qualifier	Select the type of identification used by Owner 2 that corresponds to Owner 2's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Owner 2 last name	Type the last name of Owner 2.
Owner 2 middle name	Type the middle name of Owner 2.

Owner 2 natural/non-natural indicator	Select: • N-Natural • X-Non-Natural. Natural indicates an owner who is an individual. Non-natural indicates an owner that is an institution such as a company or trust.
Owner 2 non-natural name	Type Owner 2's non-natural name.
Owner 2 prefix	Type the title (Mr., Mrs., etc) that precedes Owner 2's name.
Owner 2 Qualifier	Select a qualifier for Owner 2. A qualifier identifies Owner 2 as a person, a corporation, a trust, etc.
Owner 2 suffix	Type the title (Esq., Ph.D., etc) that follows Owner 2's name.

Other Page Items	
In this field	**You can**
Back	Click to return to the PCWeb Direct home page.
More Assets	Click to enter more assets to this partial transfer. After you submit this transfer, the system returns a page where you can enter another asset connected to this TIF.
Reset	Click to clear all data from the fields without submitting the transfer to PCWeb Direct.
Submit	Click to send the transfer information to PCWeb Direct.

Partial Transfer Receiver



PARTIAL TRANSFER RECEIVER PAGE

Entering a Partial Transfer (Receiver)

Use the ACATS Partial Transfer (Receiver) function to request the movement of selected customer assets between participants. The receiving party initiates this transfer request.

1. On the home page menu, point to **ACATS**.

   The ACATS menu appears.

2. Click **Partial Transfer Receiver**.

   The Partial Transfer Receiver page appears.

   Notes:

   All required fields appear in bold followed by a red asterisk (*).

   A conditional field appears as optional until you type or select information that makes it required.

   When a field becomes required, a red asterisk (*) appears next to it, but the field name will not become bold.

3. In the Transfer Information section, type or select information in all required fields and any applicable optional fields.
4. In the Asset Information section, type or select information in all required fields and any applicable optional fields for the partial transfer.
5. If the asset is a mutual fund, type or select information in the Mutual Fund Information section.
   or
   If the asset is an option, type or select information in the Option Information section.
   or
   If the asset is neither a mutual fund nor an option, you do not have to complete either section.
6. Check for missed required fields, such as conditional fields that may have become required during your data entry.
7. Click **More Assets** to enter additional assets for this partial transfer.

   When you submit this entry, PCWeb Direct will return a page that allows you to add another asset. Click **More Assets** on each subsequent page until you have entered all assets related to this partial transfer.

8. Click **Submit** to finish your transaction.
   or

Click **Reset** to clear all data.
or
Click **Back** to return to the PCWeb Direct home page.

The receiving participant uses the ACATS Partial Transfer Receiver (PTR) function to request the assets to be transferred in a partial account transfer. This is performed by entering the full TIF and asset information into the input page.

The deliverer can address the PTR in four ways:

- By inputting assets to the PTR. The deliverer can input assets to the PTR by using the Add Assets page. The deliverer should reference the ACATS control number for the PTR when submitting these assets.
- By taking no action. If the deliverer takes no action, the PTR will drop off of the ACATS system in three days (initial plus two).
- By rejecting the PTR. The deliverer can reject the PTR request by using the deliverer reject codes (01 through 09).

The receiver (initiator of the PTR) can address these responses in two ways:

- If the deliverer has responded to the PTR by adding assets and the receiver does not reject those submitted assets, the PTR will go to Settle-Close status at the end of the day.
- If the deliverer has responded to the PTR by adding assets, the receiver can reject those assets by using reject code 21 ("Account violates policy of receiving firm").

Partial Transfer Receiver Field Definitions

Items appear in alphabetical order. Items marked with an asterisk (*) are required.

Note that conditional fields may become required depending upon your selections in other fields. These fields will display an asterisk (*) once your selections make them required fields.

Transfer Information (TIF)	
In this field	**You can**
Account Type*	Choose the customer's account type from a list if you are the original receiver.
Comments	Type any additional notes or information about this transfer not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Customer Name*	Type the customer's name. You can enter a maximum of 60 characters.

Transfer Information (TIF)	
Deliverer Customer Account Number*	Type the deliverer's account number for the customer. You can enter a maximum of 20 characters.
Original Deliverer*	Type the four-digit membership number of the NSCC participant receiving the request to deliver the transfer of assets.
Original Receiver*	View, choose, or type the four-digit membership number of the NSCC participant requesting the transfer of assets. This field differs according to your user type: If you are logged in as a participant, your participant number appears in this field by default. If you are logged in as a Service Bureau, this field becomes a drop-down list that contains all participant numbers to which you have access.
Primary SSN*	Type the customer's Social Security number. Use a nine-digit numeric format without hyphens or spaces.
Receiver Correspondent Number	Type the four-digit Receiver Correspondent number if the receiving participant is acting on behalf of another party.
Receiver Customer Account Number*	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Receiver OCC Broker Number	Type the five-character Receiver Options Clearing Corporation Broker number. This field is required only if the OCC clearing number is different from the NSCC clearing number.
Secondary SSN	Type the customer's secondary Social Security number. Use a nine-digit numeric format without hyphens or spaces.

Asset Information	
In this field	**You can**
Amount	Type the original dollar amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, please use only two places after the decimal point; for foreign currency, please use four places after the decimal point.
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Bearer Bond	Choose whether a bond is a bearer instrument.
Cash / Margin / Short	Choose whether the position is cash, margin, or short.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Currency Code	Type the three-character ISO Currency Code for the asset. This field is required when the Asset Pricing Category field reads FCUR.
Full Partial Ind.*	Choose whether the requested position is full or partial.
ISIN*	Type the International Security Identification Number, which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
MBS Serial Note	Type the three-character serial note unit number used to identify mortgage-backed securities.
Option Category*	Choose the type of option entered.
Percent	
Position Code*	Choose whether the position is short, long, or not applicable.
Pricing Category*	Choose an asset-pricing category. This field is required unless the requested settling location is 35 - OCC, 40 - Cash Balance, or 45 - Memo (for Cash only).
Quantity	Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.

Asset Information	
Quantity Request Type*	Choose whether the requested quantity is the number of shares or the dollar amount.
Settling Location*	Select a settling location or method if you are acting as the original receiver. The ACATS system overrides your selection if the asset cannot settle in the requested settling location, or if the requested settling location is invalid for either the receiver or the deliverer. Firms can select the 00 - System Generated settlement location. ACATS then determines the valid asset settling location.
Settling Reason	Choose the settling reason. This field is required when the settling location is 35, 40, 45, or 50. If the settling location is 35 (OCC), your options are: EXPO - Expiring Option OPT - Option USEC - Underlying Security If the settling location is 40 (Cash Balance), the valid values are: CRED - Credit Balance DEB - Debit Balance If the settling location is 45 (Memo), the valid values are: CASH - Underlying Cash Balance COMT - Comment SMA - Special Miscellaneous Accounting Value USEC - Underlying Security If the settling location is 50 (R&D), the valid values are: RSEC - Restricted Security SFK - Safekeeping XSET - Outside CNS, DTC, and Fund/SERV FCUR - Foreign Currency DDEL - Delayed Delivery
When Issued	Choose W - When Issued to indicate whether the asset is a when issued security or N - Not When Issued if it is not.

Mutual Fund Information	
In this field	**You can**
Book/Physical Shares	Choose the format of the customer assets being transferred. Click one of the following list items: 0 - In and Out Book Shares. BIN Specified. 1 - In and Out Book Shares. FIN Specified. 2 - In: Book Shares, Out: Physical. Note - The Broker Account Number (BIN) and Fund Account Number (FIN) are supplied on the Fund/SERV Transfer Record.

Mutual Fund Information	
CDSC Indicator	Choose the Contingent Deferred Sales Charges (CDSC) indicator. Click one of the following list items: 0 - Not Applicable (if your selection in the Dividend Code field already contains information relating to the type of dividend, capital gain, and short-term capital gain) 1 - Delivering firm will provide info within Networking (if the delivering firm provides automated CDSC lot listing information) 2 - Delivering firm will provide info outside Networking (if the delivering firm provides CDSC lot listing information outside the system).
Customer/Street	Click 1 - Customer Name if the assets are registered in the customer's name or 2 - Street Name if the assets are registered in street name.
Dividend Code	Click the dividend code from an eight-item list. Each item displays the dividend code number and manner (cash or reinvestment) in which payment will be made for dividend payments, capital gains, and short-term capital gains. Example: 2 - Cash Reinvest. Dividend payments - Cash Capital gains - Cash Short-term capital gains - Reinvest
Dividend Payee	Click the dividend recipient type from a list.
Executing Broker	Type the four-digit code to identify the broker executing the delivery.

Firm Membership Indicator Deliverer	Select the type of account that is being delivered, either a Broker account or a 01 - Trust account.
Full/Partial Transfer	Click the type of transfer, either Full or Partial. This indicator refers to the asset position, and whether the entire position (full) or part of a position (partial) is being transferred.
Fund Customer Account	Type the 20-character Fund Customer Account number.
Network Control Indicator	Choose how the account will be handled in Networking or indicate that it will not be networked.

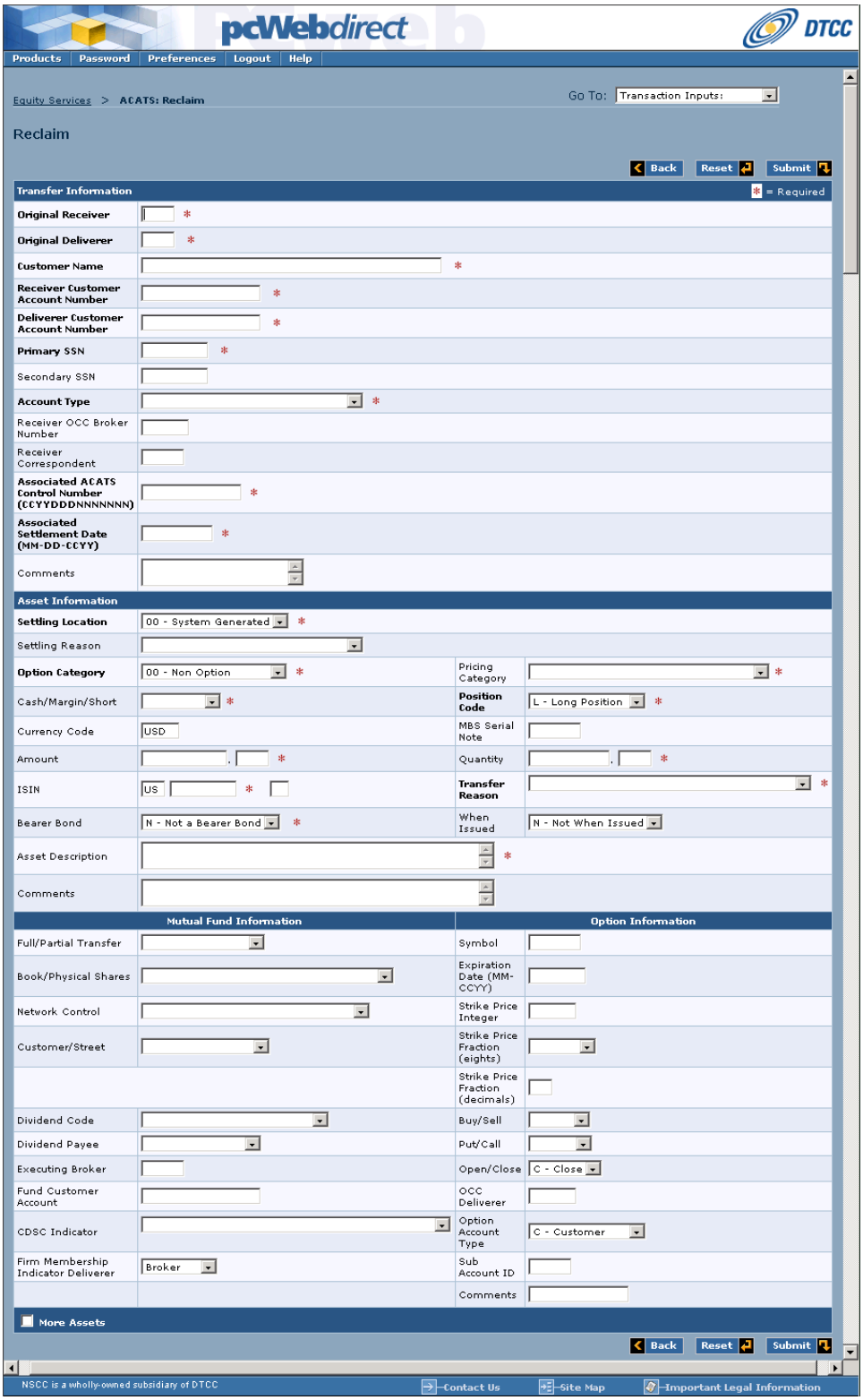
Option Information	
In this field	**You can**
Buy/Sell	Indicate whether the option is a buy or a sell, according to the following rules: If you are the deliverer and the account is long an option, submit the position as a closing sell. If you are the deliverer and the account is short an option, submit the position as a closing buy. If you are the receiver of an account with a long option, it will be reflected as an opening sell. If you are the receiver of an account with a short option, it will be reflected as an opening buy. **Note:** The ACATS reports for the receiver and the deliverer will reflect the opposite for the same position. ACATS performs the flip internally.
Comments	Type a message of up to 16 characters regarding the transfer of this option.
Expiration Date	Enter the expiration date in mm-ccyy format. You must include the dashes to separate the month and four-digit year. Anything else will not register in the system.
OCC Deliverer	Enter the five-digit Options Clearing Corporation Deliverer number. This field is required only if the OCC clearing number is different from the NSCC clearing number.

Open/Close	Indicate whether the option is opening or closing, according to the following rules: If you are the deliverer and the account is long an option, submit the position as a closing sell. If you are the deliverer and the account is short an option, submit the position as a closing buy. If you are the receiver of an account with a long option, it will be reflected as an opening sell. If you are the receiver of an account with a short option, it will be reflected as an opening buy. **Note:** The ACATS reports for the receiver and the deliverer will reflect the opposite for the same position. ACATS performs the flip internally.
Option Account Type	Indicate whether the account is for a Customer, Firm, or Market Maker.
Put/Call	Indicate whether this is a put option or a call option.
Sub Account ID	Enter the four-digit sub account ID number.

Option Information	
Symbol	Enter the six-character option symbol.
Strike Price Fraction (Decimal)	Type the fraction portion of the strike price when it is expressed as a decimal. Do not use this field when expressing the fractional amount as an actual fraction.
Strike Price Fraction (Fraction)	Select the fraction portion of the strike price when it is expressed as a fraction. Do not use this field when expressing the fractional amount as a decimal.
Strike Price Integer	Enter the integer portion of the strike price for the option in numeric format (up to five digits).

Other Page Items	
In this field	**You can**
Back	Click to return to the PCWeb Direct home page.
More Assets	Click to enter more assets to this partial transfer. After you submit the transfer, the system returns a page where you can enter another asset connected to this TIF.
Reset	Click to clear all data from the fields without submitting the transfer to PCWeb Direct.
Submit	Click to send the transfer information to PCWeb Direct.

Reclaim


pcWebdirect
DTCC
Products
Password
Preferences
Logout
Help
Equity Services > ACATS: Reclaim
Go To: Transaction Inputs:
Reclaim
Back
Reset
Submit
Transfer Information
* = Required
Original Receiver
Original Deliverer
Customer Name
Receiver Customer Account Number
Deliverer Customer Account Number
Primary SSN
Secondary SSN
Account Type
Receiver OCC Broker Number
Receiver Correspondent
Associated ACATS Control Number (CCYYDDDNNNNNNN)
Associated Settlement Date (MM-DD-CCYY)
Comments
Asset Information
Settling Location
00 - System Generated
Settling Reason
Option Category
00 - Non Option
Pricing Category
Cash/Margin/Short
Position Code
L - Long Position
Currency Code
USD
MBS Serial Note
Amount
Quantity
ISIN
US
Transfer Reason
Bearer Bond
N - Not a Bearer Bond
When Issued
N - Not When Issued
Asset Description
Comments
Mutual Fund Information
Option Information
Full/Partial Transfer
Symbol
Book/Physical Shares
Expiration Date (MM-CCYY)
Network Control
Strike Price Integer
Customer/Street
Strike Price Fraction (eights)
Strike Price Fraction (decimals)
Dividend Code
Buy/Sell
Dividend Payee
Put/Call
Executing Broker
Open/Close
C - Close
Fund Customer Account
OCC Deliverer
CDSC Indicator
Option Account Type
C - Customer
Firm Membership Indicator Deliverer
Broker
Sub Account ID
Comments
More Assets
Back
Reset
Submit
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RECLAIM PAGE

Entering a Reclaim

The original deliverer uses the ACATS Reclaim function to request the return of particular customer assets that have been transferred incorrectly between firms.

1. On the home page menu, point to **ACATS**.

   The ACATS menu appears.

2. Click **Reclaim**.

   The Reclaim page appears.

   Notes:

   All required fields appear in bold followed by a red asterisk (*).

   A conditional field appears as optional until you type or select information that makes it required.

   When a field becomes required, a red asterisk (*) appears next to it, but the field name will not become bold.

3. In the Transfer Information section, type or select information in all required fields and any applicable optional fields.
4. In the Asset Information section, type or select information in all required fields and any applicable optional fields for the assets being reclaimed.
5. If the asset is a mutual fund, type or select information in the Mutual Fund Information section.
   or
   If the asset is an option, type or select information in the Option Information section.
   or
   If the asset is neither a mutual fund nor an option, you do not have to complete either section.
6. Check for missed required fields, such as conditional fields that may have become required during your data entry.
7. Click **More Assets** to enter additional assets for this partial reclaim.

   When you submit this entry, PCWeb Direct will return a page that allows you to add another asset. Click More Assets on each subsequent page until you have entered all assets related to this reclaim.

8. Click **Submit** to finish your transaction.
   or
   Click **Reset** to clear all data.
   or
   Click **Back** to return to the PCWeb Direct home page.

This transaction is considered a nonstandard transfer. It has a three-day review period. However, the reclaim function allows you to override the review period using the Accelerate Transfer input page.

The reclaim may be rejected using the Reject Transfer page.

Reclaim Field Definitions

Items appear in alphabetical order. Items marked with an asterisk (*) are required.

Note that conditional fields may become required depending upon your selections in other fields. These fields will display an asterisk (*) once your selections make them required fields.

Transfer Information (TIF)	
In this field	**You can**
Account Type*	Choose the customer's account type if you were the original deliverer.
Associated ACATS Control Number*	Type the 14-digit ACATS control number of the prior associated transfer, as required. This number can be obtained from the reports produced by the ACATS system. The format is *ccyydddnnnnnn* where: *cc* = the century when the transfer was submitted *yy* = the year when the transfer was submitted *ddd* = the Julian date when the transfer was submitted *nnnnnn* = a system-assigned sequence number.
Associated Settlement Date*	Type the settlement date for the prior associated transfer in *mm-dd-ccyy* format.
Comments	Type any additional notes or information about this reclaim not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Customer Name*	Type the customer's name. You can enter a maximum of 60 characters.
Deliverer Customer Account Number*	Type the deliverer's customer account number. You can enter a maximum of 20 characters.
Transfer Information (TIF)	

Original Deliverer*	View, choose, or type the four-digit membership number of the NSCC participant originally delivering the transfer of assets. This field differs according to your user type: If you are logged in as a participant, your participant number appears in this field by default If you are logged in as a Service Bureau, this field becomes a drop-down list that contains all participant numbers to which you have access If you are logged in as an NSCC Branch Office, this field is empty.
Original Receiver*	Type the four-digit number for the participant that initiated the original transfer and received the assets.
Primary SSN*	Type the customer's Social Security number. Use a nine-digit numeric format without hyphens or spaces.
Receiver Correspondent	Type the four-character Receiver Correspondent number.
Receiver Customer Account Number*	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Receiver OCC Broker Number	Type the five-character Receiver Options Clearing Corporation Broker number. This field is required only if the OCC clearing number is different from the NSCC clearing number.
Secondary SSN*	Type the customer's secondary Social Security number. Use a nine-digit numeric format without hyphens or spaces.

Asset Information	
In this field	**You can**
Amount	Type the original dollar amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, please use only two places after the decimal point; for foreign currency, please use four places after the decimal point.
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Bearer Bond	Choose whether a bond is a bearer instrument.
Cash / Margin / Short	Choose whether the position is cash, margin, or short.
Comments	Type any additional notes or information about this asset not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.

Asset Information	
Currency Code	Type the three-character ISO Currency Code for the asset. This field is required when the Asset Pricing Category field reads FCUR.
ISIN*	Type the International Security Identification Number, which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
MBS Serial Note	Type the three-character serial note unit number used to identify Puerto Rican mortgage-backed securities.
Option Category*	Options are not available for Reclaims. You must select 00 - Non Option in this field.
Position Code*	Choose whether the position is short, long, or not applicable.
Pricing Category	Choose an asset-pricing category. This field is required unless the requested settling location is 40 - Cash Balance or 45 - Memo (for Cash only).
Quantity	Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.
Settling Location*	Select a settling location or method if you are acting as the original deliverer. The ACATS system overrides your selection if the asset cannot settle in the requested settling location, or if the requested settling location is invalid for either the receiver or the deliverer. Firms can select the 00 - System Generated settlement location. ACATS then determines the valid asset settling location.

Settling Reason	Choose the settling reason. This field is required when the settling location is 40, 45, or 50. If the settling location is 40 (Cash Balance), the valid values are: CRED - Credit Balance DEB - Debit Balance If the settling location is 45 (Memo), the valid values are: CASH - Underlying Cash Balance COMT - Comment SMA - Special Miscellaneous Accounting Value USEC - Underlying Security If the settling location is 50 (R&D), the valid values are: RSEC - Restricted Security SFK - Safekeeping XSET - Outside CNS, DTC, and Fund/SERV FCUR - Foreign Currency DDEL - Delayed Delivery

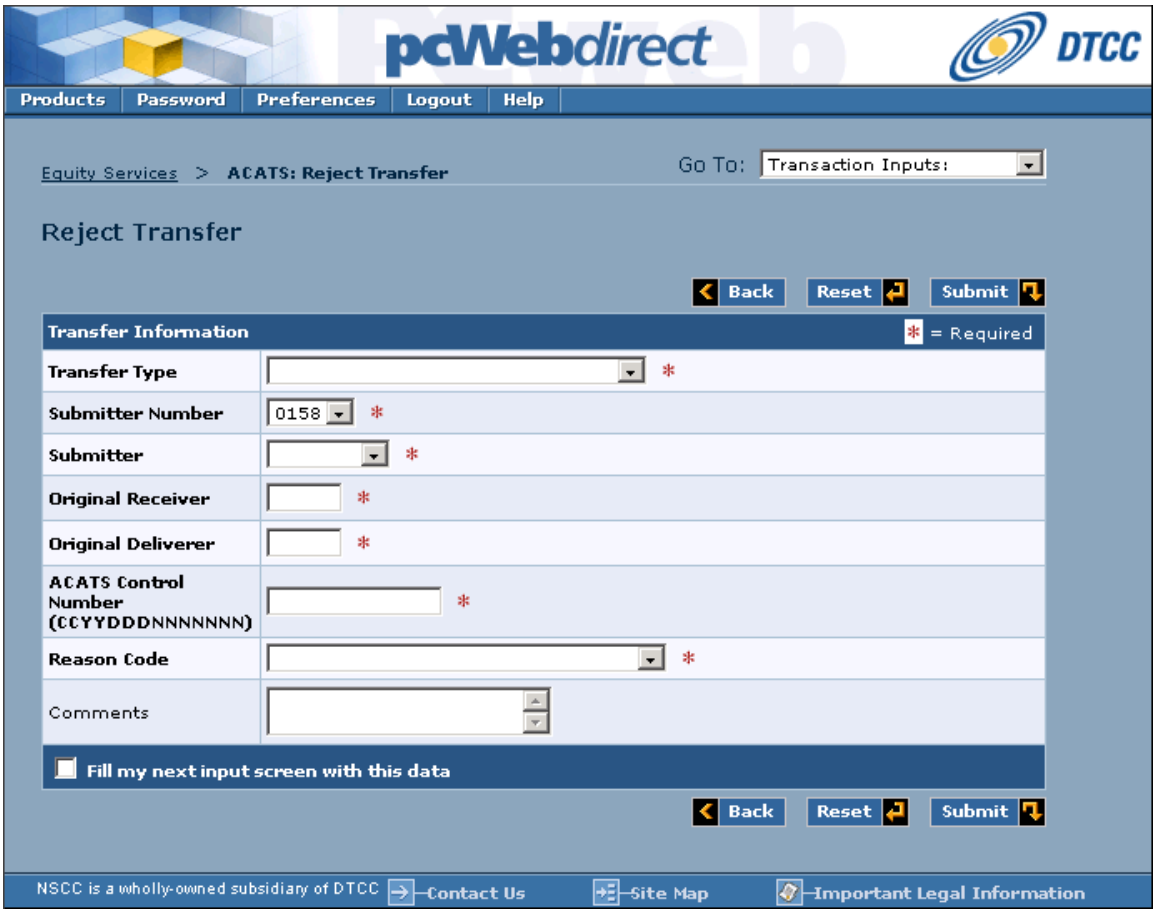
Asset Information	
Transfer Reason	Choose the option that represents why the asset is being reclaimed.
When Issued	Choose whether the asset is being transferred when issued or not when issued.

Mutual Fund Information
Please note that "Mutual Fund" is not a valid asset type for Reclaim transfers.

Option Information
Please note that "Option" is not a valid asset type for Reclaim transfers.

Other Page Items	
In this field	**You can**
Back	Click to return to the PCWeb Direct home page.
More Assets	Click to enter more assets to this reclaim. After you submit the reclaim, the system returns a page where you can enter another asset connected to this TIF.
Reset	Click to clear all data from the fields without submitting the transfer to PCWeb Direct.
Submit	Click to send the transfer information to PCWeb Direct.

Reject Transfer



REJECT TRANSFER PAGE

Rejecting a Transfer

The ACATS Reject Transfer function serves as a way to reject a TIF once it has been submitted.

1. On the home page menu, point to **ACATS**.

   The ACATS menu appears.

2. Click **Reject Transfer**.

   The Reject Transfer page appears.

   Notes:

   All required fields appear in bold followed by a red asterisk (*).

   A conditional field appears as optional until you type or select information that makes it required.

When a field becomes required, a red asterisk (*) appears next to it, but the field name will not become bold.

3. Type or select information in all required fields and any applicable optional fields.
4. Type comments about the transfer rejection in the Comments box.
5. Check for missed required fields, such as conditional fields that may have become required during your data entry.
6. Click **Fill my next input screen with this data** to reject another transfer with similar information.

   You can change information that differs when entering the subsequent transfer rejection.

7. Click **Submit** to finish your transaction.
   or
   Click **Reset** to clear all data.
   or
   Click **Back** to return to the PCWeb Direct home page.

Full Transfer, Partial Transfer (Deliverer), Partial Transfer (Receiver), Residual Credit, Reclaim, Custody Re-Delivery, Mutual Fund Cleanups, and Fail Reversal requests can be rejected using this page.

The transfer may be rejected by the deliverer because it contains errors or insufficient information, or the client no longer wants the transfer, etc.

Generally, the deliverer has until the end of the first request day to reject a standard (full) transfer request. All other non-standard transfer request types must be rejected by the receiver on the same day that they are received. The exception to this is a reclaim: a receiver has three days to reject a reclaim.

In addition, the receiver must use this function to reject an account after the deliverer has submitted assets for any type of ACATS transfer.

Reject Transfer Field Definitions

Items appear in alphabetical order. Items marked with an asterisk (*) are required.

Note that conditional fields may become required depending upon your selections in other fields. These fields will display an asterisk (*) once your selections make them required fields.

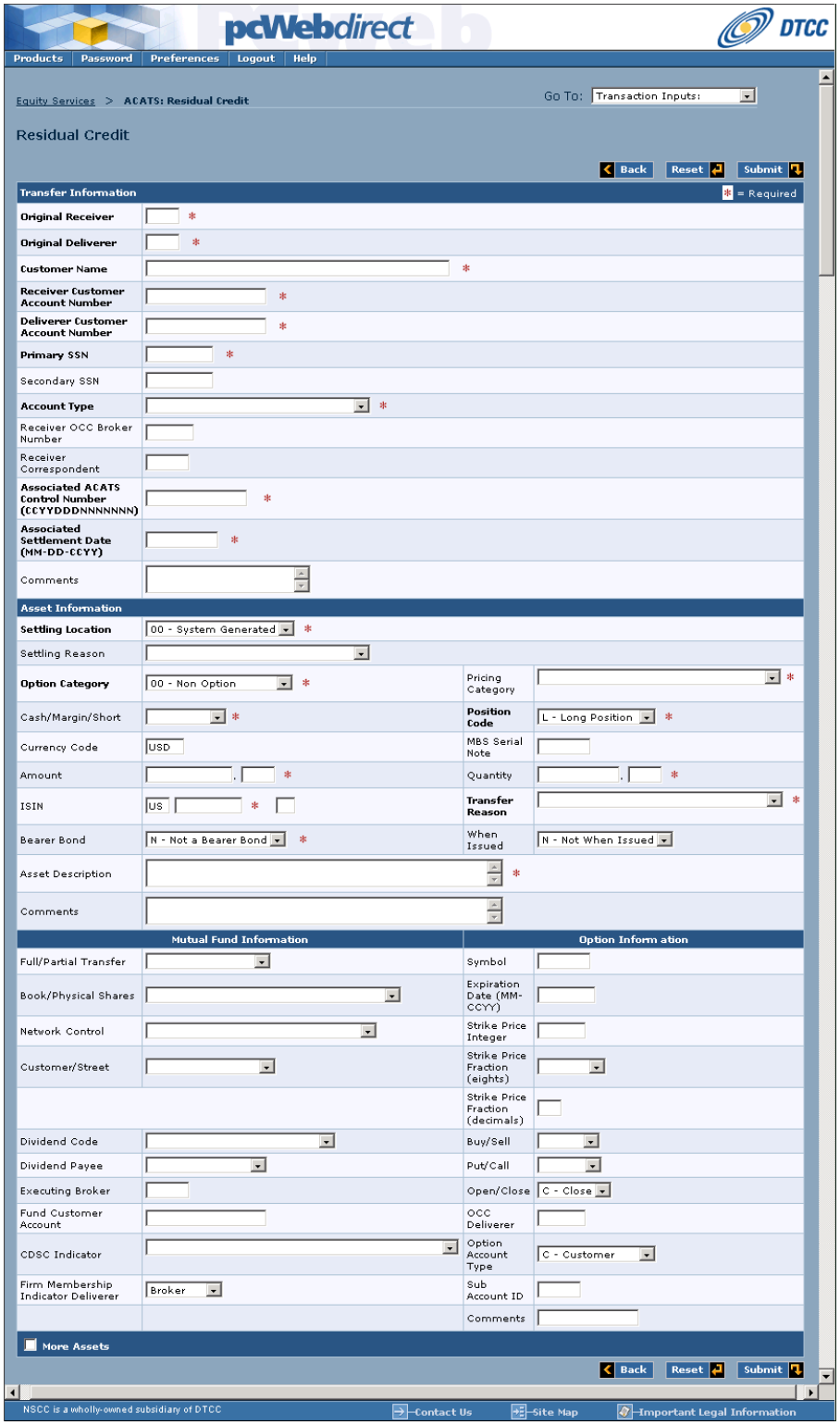
Transfer Information (TIF)	
In this field	**You can**
ACATS Control Number*	Type the 14-digit ACATS control number for the associated transfer, as required. This number can be obtained from the reports produced by the ACATS system. The format is *ccyydddnnnnnnn* where: *cc* = the century when the transfer was submitted *yy* = the year when the transfer was submitted *ddd* = the Julian date when the transfer was submitted *nnnnnnn* = a system-assigned sequence number.
Comments	Type any additional notes or information about this transfer reject request not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Original Deliverer*	Type the four-digit NSCC account number for the deliverer originally indicated on the transfer.
Original Receiver*	Type the four-digit number for the Original Receiver.

Reason Code*	Choose the reason to reject the account transfer request. Note that the drop-down list contains only those reasons that match the transfer type for this account. The reason codes are also specific to deliverers and receivers. Deliverer codes are numbered 1 through 9. These can be used for a standard (full) or partial transfer (receiver) rejects: 01 - SSN Tax ID Mismatch 02 - Account Title Mismatch 03 - Documentation Needed 04 - Account Flat 05 - Invalid Account# 06 - Duplicate 07 - Account in Distribution or Transfer 08 - Client Rescinded 09 - Missing Authorization Signature Receiver codes are numbered 21 through 27. These must correspond to the type of transfer being rejected: 21 - Account Violates Credit Policy of Receiving Firm 22 - Unrecognized for Residual Credit Balance 23 - Partial Transfer (Deliverer Initiated) Reject 24 - Fail Reversal Reject 25 - Reclaim Reject 27 - Mutual Fund Cleanup Reject

Transfer Information (TIF)	
Submitter Number*	Type the four-digit number for the participant that submitted the transfer. This field differs according to your user type: If you are logged in as a participant, your participant number appears in this field by default If you are logged in as a Service Bureau, this field becomes a drop-down list that contains all participant numbers to which you have access If you are logged in as an NSCC Branch Office, this field is empty.
Submitter*	Click Deliverer or Receiver.
Transfer Type*	Choose the type of transfer being rejected.

Other Page Items	
In this field	**You can**
Back	Click to return to the PCWeb Direct home page.
Fill my next input screen with this data	Click to populate your next transaction page with the information you provided on this one. You can change any information that differs when entering the subsequent transaction.
Reset	Click to clear all data from the fields without submitting the transfer to PCWeb Direct.
Submit	Click to send the transfer information to PCWeb Direct.

Residual Credit



RESIDUAL CREDIT PAGE

Entering a Residual Transfer Credit

After an account moves through the ACATS process and settles, the delivering firm may notice the accumulation of monies or shares of securities in the account that the customer has closed.

Use the ACATS Residual Credit option to move these additional monies or shares for the previously transferred asset from the old account to the new one.

1. On the home page menu, point to **ACATS**.

   The ACATS menu appears.

2. Click **Residual Credit**.

   The Residual Credit page appears.

   Notes:

   All required fields appear in bold followed by a red asterisk (*).

   A conditional field appears as optional until you type or select information that makes it required.

   When a field becomes required, a red asterisk (*) appears next to it, but the field name will not become bold.

3. In the Transfer Information section, type or select information in all required fields and any applicable optional fields.
4. In the Asset Information section, type or select information in all required fields and any applicable optional fields for the residual credit transfer.
5. If the asset is a mutual fund, type or select information in the Mutual Fund Information section.
   or
   If the asset is an option, type or select information in the Option Information section.
   or
   If the asset is neither a mutual fund nor an option, you do not have to complete either section.
6. Check for missed required fields, such as conditional fields that may have become required during your data entry.
7. Click **More Assets** to enter additional assets for this partial transfer.

When you submit this entry, PCWeb Direct will return a page that allows you to add another asset. Click More Assets on each subsequent page until you have entered all assets related to this residual credit transfer.

8. Click **Submit** to finish your transaction.
   or
   Click **Reset** to clear all data.
   or
   Click **Back** to return to the PCWeb Direct home page.

Residual Credit Field Definitions

Items appear in alphabetical order. Items marked with an asterisk (*) are required.

Note that conditional fields may become required depending upon your selections in other fields. These fields will display an asterisk (*) once your selections make them required fields.

Transfer Information (TIF)	
In this field	**You can**
Account Type*	Choose the customer's account type if you act as the original deliverer.
Associated ACATS Control Number*	Type the 14-digit ACATS control number of the prior associated transfer, as required. This number can be obtained from the reports produced by the ACATS system. The format is *ccyydddnnnnnn* where: *cc* = the century when the transfer was submitted *yy* = the year when the transfer was submitted *ddd* = the Julian date when the transfer was submitted *nnnnnn* = a system-assigned sequence number.
Associated Settlement Date*	Type the settlement date for the prior associated transfer in *mm-dd-ccyy* format.
Comments	Type any additional notes or information about this residual credit not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Customer Name*	Type the customer's name. You can enter a maximum of 60 characters.
Deliverer Customer Account Number*	Type the deliverer's customer account number. You can enter a maximum of 20 characters.

Original Deliverer*	Type the four-digit number for the participant that inputs assets for delivery. This field differs according to your user type: If you are logged in as a participant, your participant number appears in this field by default If you are logged in as a Service Bureau, this field becomes a drop-down list that contains all participant numbers to which you have access

Transfer Information (TIF)	
Original Receiver*	Type the four-digit number for the participant that initiated the original transfer and received the assets.
Primary SSN*	Type the customer's Social Security number. Use a nine-digit numeric format without hyphens or spaces.
Receiver Correspondent	Type the four-character Receiver Correspondent number.
Receiver Customer Account Number*	Type the receiver's customer account number. You can enter a maximum of 20 characters.
Receiver OCC Broker Number	Type the five-character Receiver Options Clearing Corporation Broker number. This number is required only if it differs from the receiving participant number.
Secondary SSN*	Type the customer's secondary Social Security number. Use a nine-digit numeric format without hyphens or spaces.

Asset Information	
In this field	**You can**
Amount	Type the original dollar amount of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point. For US currency, please use only two places after the decimal point; for foreign currency, please use four places after the decimal point.
Asset Description	Type a text description of the asset being transferred. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.

Bearer Bond	Choose whether a bond is a bearer instrument.
Cash / Margin / Short	Choose whether the position is cash or margin. A short position is not a valid selection for the residual credit transfer type.
Comments	Type any additional notes or information about this residual credit not already covered by the entry fields. Create line breaks by pressing ENTER, otherwise your text will be contained on a single line.
Currency Code	Type the three-character ISO Currency Code for the asset. This field is required when the Asset Pricing Category field reads FCUR.

Asset Information	
ISIN*	Type the International Security Identification Number, which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
MBS Serial Note	Type the three-character serial note unit number used to identify Puerto Rican mortgage-backed securities.

Asset Information	
Option Category*	Options are not available for residual credit transfers. You must select 00 - Non Option in this field.
Position Code*	Select L - Long Position. Short positions are not valid for the residual credit transfer type.
Pricing Category*	Choose an asset-pricing category. This field is required unless the requested settling location is 35 - OCC, 40 - Cash Balance, or 45 - Memo (for Cash only).
Quantity	Type the original quantity of the asset. Up to 13 characters can be entered before the decimal point; up to four characters can be entered after the decimal point.

Settling Location*	Select a settling location or method if you are acting as the original deliverer. The ACATS system overrides your selection if the asset cannot settle in the requested settling location, or if the requested settling location is invalid for either the receiver or the deliverer. Firms can select the 00 - System Generated settlement location. ACATS then determines the valid asset settling location.
Settling Reason	Choose the settling reason. This field is required when the settling location is 40, 45, or 50. If the settling location is 40 (Cash Balance), the valid value is: CRED - Credit Balance If the settling location is 45 (Memo), the valid values are: CASH - Underlying Cash Balance COMT - Comment SMA - Special Miscellaneous Accounting Value USEC - Underlying Security If the settling location is 50 (R&D), the valid values are: RSEC - Restricted Security SFK - Safekeeping XSET - Outside CNS, DTC, and Fund/SERV FCUR - Foreign Currency DDEL - Delayed Delivery

Asset Information	
Transfer Reason	Choose the option that represents why there is residual credit to be transferred.
When Issued	Choose W - When Issued to indicate whether the asset is a when issued security or N - Not When Issued if it is not.

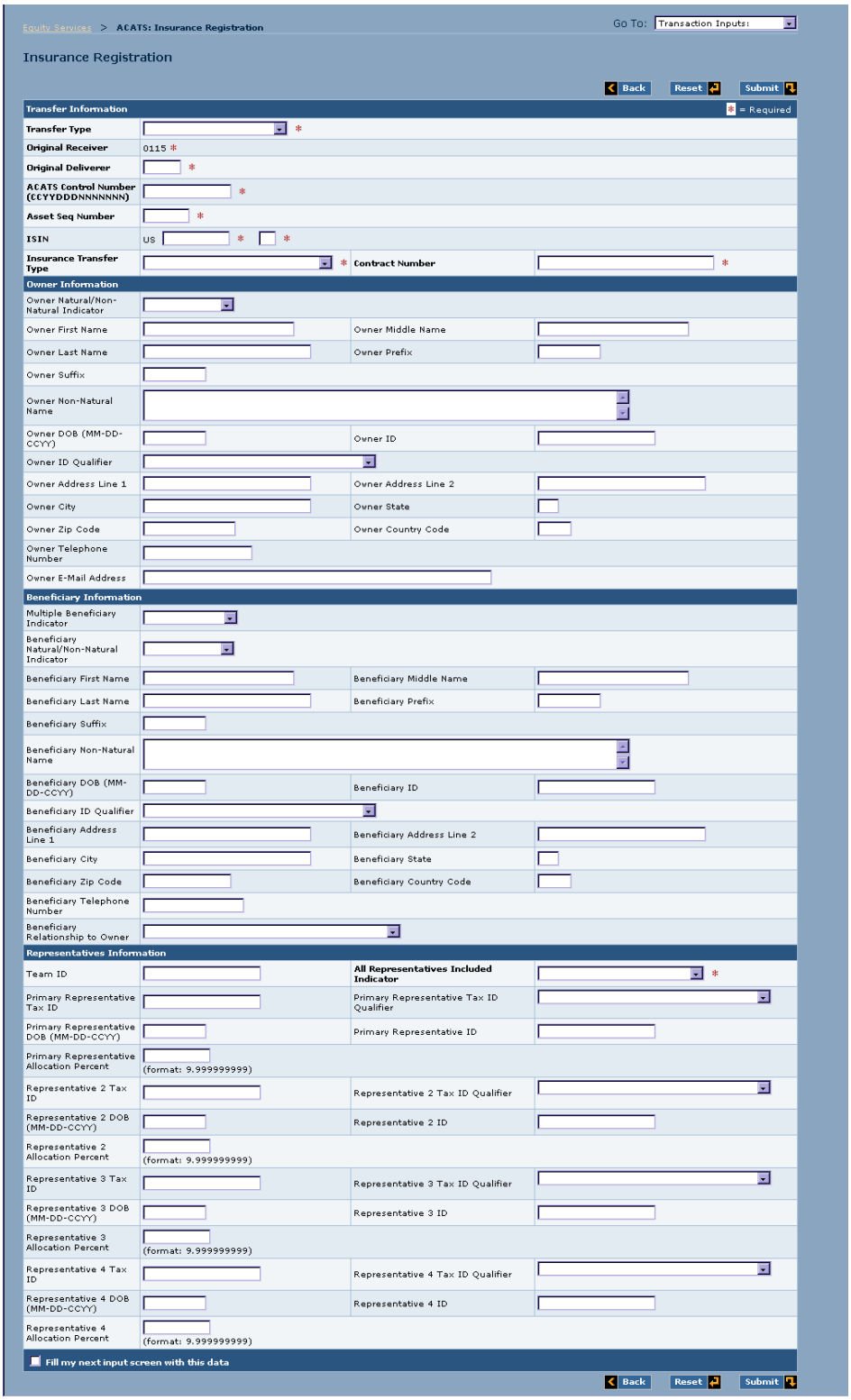
Mutual Fund Information	
In this field	**You can**
Book/Physical Shares	Choose the format of the customer assets being transferred. Click one of the following list items: 0 - In and Out Book Shares. BIN Specified. 1 - In and Out Book Shares. FIN Specified. 2 - In: Book Shares, Out: Physical. Note - The Broker Account Number (BIN) and Fund Account Number (FIN) are supplied on the Fund/SERV Transfer Record.
CDSC Indicator	Choose the Contingent Deferred Sales Charges (CDSC) indicator. Click one of the following list items: 0 - Not Applicable (if your selection in the Dividend Code field already contains information relating to the type of dividend, capital gain, and short-term capital gain) 1 - Delivering firm will provide info within Networking (if the delivering firm provides automated CDSC lot listing information) 2 - Delivering firm will provide info outside Networking (if the delivering firm provides CDSC lot listing information outside the system).
Customer/Street	Click 1 - Customer Name if the assets are registered in the customer's name or 2 - Street Name if the assets are registered in street name.
Dividend Code	Click the dividend code from an eight-item list. Each item displays the dividend code number and manner (cash or reinvestment) in which payment will be made for dividend payments, capital gains, and short-term capital gains. Example: 2 - Cash Reinvest. Dividend payments - Cash Capital gains - Cash Short-term capital gains - Reinvest
Dividend Payee	Click the dividend recipient type from a list.
Executing Broker	Type the four-digit code to identify the broker executing the delivery.

Mutual Fund Information	
Firm Membership Indicator Deliverer	Select the type of account that is being delivered, either a Broker account or a 01 - Trust account.
Full/Partial Transfer	Click the type of transfer, either Full or Partial. This indicator refers to the asset position, and whether the entire position (full) or part of a position (partial) is being transferred.
Fund Customer Account	Type the 20-character Fund Customer Account number.
Network Control Indicator	Choose how the account will be handled in Networking or indicate that it will not be networked.

Option Information
Please note that "Option" is not a valid asset type for Residual Credit transfers.

Other Page Items	
In this field	**You can**
Back	Click to return to the PCWeb Direct home page.
More Assets	Click to enter more assets to this residual credit transfer. After you submit the transfer, the system returns a page where you can enter another asset connected to this TIF.
Reset	Click to clear all data from the fields without submitting the transfer to PCWeb Direct.
Submit	Click to send the transfer information to PCWeb Direct.

Insurance Registration



Equity Services > ACATS: Insurance Registration

Go To: Transaction Inputs:

Insurance Registration

Back Reset Submit

Transfer Information			* = Required
Transfer Type	*		
Original Receiver	0115 *		
Original Deliverer	*		
ACATS Control Number (CCYYDDDNNNNNNN)	*		
Asset Seq Number	*		
ISIN	US * *		
Insurance Transfer Type	*	Contract Number	*
Owner Information			
Owner Natural/Non-Natural Indicator			
Owner First Name		Owner Middle Name	
Owner Last Name		Owner Prefix	
Owner Suffix			
Owner Non-Natural Name			
Owner DOB (MM-DD-CCYY)		Owner ID	
Owner ID Qualifier			
Owner Address Line 1		Owner Address Line 2	
Owner City		Owner State	
Owner Zip Code		Owner Country Code	
Owner Telephone Number			
Owner E-Mail Address			
Beneficiary Information			
Multiple Beneficiary Indicator			
Beneficiary Natural/Non-Natural Indicator			
Beneficiary First Name		Beneficiary Middle Name	
Beneficiary Last Name		Beneficiary Prefix	
Beneficiary Suffix			
Beneficiary Non-Natural Name			
Beneficiary DOB (MM-DD-CCYY)		Beneficiary ID	
Beneficiary ID Qualifier			
Beneficiary Address Line 1		Beneficiary Address Line 2	
Beneficiary City		Beneficiary State	
Beneficiary Zip Code		Beneficiary Country Code	
Beneficiary Telephone Number			
Beneficiary Relationship to Owner			
Representatives Information			
Team ID		**All Representatives Included Indicator**	*
Primary Representative Tax ID		Primary Representative Tax ID Qualifier	
Primary Representative DOB (MM-DD-CCYY)		Primary Representative ID	
Primary Representative Allocation Percent	(format: 9.999999999)		
Representative 2 Tax ID		Representative 2 Tax ID Qualifier	
Representative 2 DOB (MM-DD-CCYY)		Representative 2 ID	
Representative 2 Allocation Percent	(format: 9.999999999)		
Representative 3 Tax ID		Representative 3 Tax ID Qualifier	
Representative 3 DOB (MM-DD-CCYY)		Representative 3 ID	
Representative 3 Allocation Percent	(format: 9.999999999)		
Representative 4 Tax ID		Representative 4 Tax ID Qualifier	
Representative 4 DOB (MM-DD-CCYY)		Representative 4 ID	
Representative 4 Allocation Percent	(format: 9.999999999)		

Fill my next input screen with this data

Back Reset Submit

INSURANCE REGISTRATION PAGE

Creating an Insurance Registration

An Insurance Registration (IR) record can only be sent by the receiving broker/dealer in ACATS. The settling location must be 60 (IPS) and must be submitted by the end of the ACATS review period.

To create an insurance registration

1. On the PC Web Direct home page, point to **ACATS**.
   The ACATS menu appears.

2. Click **Insurance Registration**.
   The Insurance Registration page appears.

3. Type or select information in all required fields and any applicable optional fields.
   For help with fields that appear on this page, see Insurance Registration field definitions.
   Note: You can save time with your next insurance registration input by clicking the **Fill my next input screen with this data** checkbox.

4. Click **Submit**.
   Your insurance registration information is entered into the ACATS system.

About Creating an Insurance Registration

You create an Insurance Registration (IR) record to allow broker/dealer change request information to be initiated into ACATS. Once created, the Insurance Registration (IR) record is forwarded to IPS at the end of the ACATS 24-hour review period (if a transfer is accelerated, the review period terminates the same day). IPS converts the IR record into an IFT (Inforce Transaction) record and the IFT record is sent to the insurance carrier by IPS. The insurance carrier confirms the transaction by sending IPS a customer account transfer (CAT) transaction with a status of acknowledged, hard reject (the insurance registration is rejected and must be resubmitted), or soft reject (the receiving broker can take corrective action within 20 days). IPS sends a subset of the CAT transaction to ACATS, which sends the information to the receiving and delivering broker/dealer.

Transfer Information	
In this field	**You can**
ACATS Control Number (CCYYDDDNNNNNNN) *	Type the 14-digit number assigned to the transaction by ACATS. The ACATS control number breaks down as follows: • CC - the millennium and century of the transfer submission • YY - the year of the transfer submission • DDD - the Julian date of the transfer submission • NNNNNNN - a system-assigned sequence number.
Asset Seq Number *	Type the six-digit asset sequence number that was generated by the ACATS system. This number is assigned to the asset when it is first added to ACATS.
Contract Number *	Type the contract/policy number assigned by the insurance carrier.
ISIN*	Type the International Security Identification Number, which consists of a country code, a nine-character alphanumeric code that identifies the security, and an ISIN check digit (when the country code is not US).
Insurance Transfer Type *	Select either: • 01—Non-Custodial to Non-Custodial • 02—Custodial to Custodial • 03—Custodial to Non-Custodial • 04—Non-Custodial to Custodial. Non-custodial means the insurance asset is in the possession of an individual. Custodial means the insurance is in the custody of/broker/dealer. When an insurance asset changes hands through an account transfer, the custodial relationship on the insurance asset changes.
Original Deliverer *	Type the four-digit NSCC account number for the original deliverer assigned to the transfer.
Original Receiver *	Select the participant number of the original receiver from the list. The Original Receiver is the party who originally receives the insurance asset.
Transfer Type *	Select the transfer type that is being registered, **Full** or **Partial Transfer (Deliverer).**

Owner Information	
In this field	**You can**
Owner Address Line 1	Type the first line of the address of the owner of the insurance asset.
Owner Address Line 2	Type the second line of the address of the owner of the insurance asset.
Owner City	Type the city where the owner of the insurance asset lives.
Owner Country Code	Type the country code of the owner of the insurance asset.
Owner DOB (MM-DD-CCYY)	Type the date of birth of the owner of the insurance asset.
Owner E-mail Address	Type the e-mail address of the owner of the insurance asset.
Owner First Name	Type the first name of the owner of the insurance asset.
Owner ID	Type the identification number used by the owner of the insurance asset. Owners may use their social security number, non-resident alien number, federal taxpayer's identification number, or Canadian social insurance number as their ACATS/IPS Beneficiary identification number.
Owner ID Qualifier	Select the type of qualifying identification used by the owner of the insurance asset that corresponds to the owner's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Owner Last Name	Type the last name of the owner of the insurance asset.
Owner Middle Name	Type the middle name of the owner of the insurance asset.
Owner Natural/Non-Natural Indicator	Select: • N-Natural • X-Non-Natural. Natural indicates an owner who is an individual. Non-natural indicates an owner that is an institution such as a company or trust.
Owner Non-Natural Name	Type the name of the non-natural owner. A non-natural owner is an institution such as a company or a trust.

Owner Prefix	Type the title (Mr., Mrs., etc) that precedes the name of the owner of the insurance asset.
Owner State	Type the state where the owner of the insurance asset lives.
Owner Suffix	Type the title (Esq., Ph.D., etc) that follows the name of the owner of the insurance asset.
Owner Telephone Number	Type the telephone number of the owner of the insurance asset.
Owner Zip Code	Type the zip code of the owner of the insurance asset.

Beneficiary Information	
In this field	**You can**
Beneficiary Address Line 1	Type the first line of the address of the beneficiary of the insurance asset.
Beneficiary Address Line 2	Type the second line of the address of the beneficiary of the insurance asset.
Beneficiary City	Type the city where the beneficiary of the insurance asset lives.
Beneficiary Country Code	Type the country code of the beneficiary of the insurance asset.
Beneficiary DOB (MM-DD-CCYY)	Type the date of birth of the beneficiary of the insurance asset.
Beneficiary First Name	Type the first name of the beneficiary of the insurance asset.
Beneficiary ID	Type the identification number used by the beneficiary of the insurance asset. Beneficiaries may use their social security number, non-resident alien number, federal taxpayer's identification number, or Canadian social insurance number as their ACATS/IPS Beneficiary identification number.
Beneficiary ID Qualifier	Select the type of identification used by the beneficiary of the insurance asset that corresponds to the beneficiary's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.

Beneficiary Last Name	Type the last name of the beneficiary of the insurance asset.
Beneficiary Middle Name	Type the middle name of the beneficiary of the insurance asset.
Beneficiary Natural/Non-Natural Indicator	Select: • N-Natural • X-Non-Natural. Natural indicates a beneficiary who is an individual. Non-natural indicates a beneficiary that is an institution such as a company or trust.
Beneficiary Non-Natural Name	Type the name of the non-natural beneficiary.
Beneficiary Prefix	Type the title (Mr., Mrs., etc) that precedes the beneficiary of the insurance asset.
Beneficiary Relationship to Owner	Select an appropriate beneficiary relationship from the 69 choices available.
Beneficiary State	Type the state where the beneficiary of the insurance asset lives.
Beneficiary Suffix	Type the title (Esq., Ph.D., etc) that follows the beneficiary of the insurance asset.
Beneficiary Telephone Number	Type the telephone number of the beneficiary of the insurance asset.
Beneficiary Zip Code	Type the zip code of the beneficiary of the insurance asset.
Multiple Beneficiary Indicator	Select this checkbox to indicate whether or not there are multiple beneficiaries. Choices are: • Y - Multiple (when there is more than one beneficiary) • N - Non-Multiple (when there is a single beneficiary).

Representatives Information	
In this field	**You can**
All Representatives Included Indicator *	Select: • Y - All representatives included • N - No representatives included. Representatives are individuals that have been assigned by the insurance carrier to represent the insurance asset. Typically, there is one representative for the insurance asset but there can be as many as 99 representatives.
Primary Representative Allocation Percent (format 9.999999999)	Type the percentage of the insurance asset allocated to the primary representative. This field is required when the All Representatives Included field has been set to "Y - All representatives included."
Primary Representative DOB (MM-DD-CCYY)	Type the date of birth of the primary representative of the insurance asset.
Primary Representative ID	Type the identification number of the primary representative assigned by the insurance carrier.
Primary Representative Tax ID	Type the identification number used by the primary representative of the insurance asset. Beneficiaries may use their social security number, non-resident alien number, federal taxpayer's identification number, or Canadian social insurance number as their ACATS/IPS Beneficiary identification number.
Primary Representative Tax ID Qualifier	Select the type of identification used by the primary representative of the insurance asset that corresponds to the primary representative's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Representative 2 Allocation Percent (format 9.999999999)	Type the percentage of the insurance asset allocated to Representative 2. This field is required when the All Representatives Included field has been set to "Y - All representatives included."
Representative 2 DOB (MM-DD-CCYY)	Type Representative 2's date of birth.
Representative 2 ID	Type the identification number of Representative 2 assigned by the insurance carrier.

Representative 2 Tax ID	Type the tax identification number used by representative 2. Representatives of the insurance asset may use their social security number, non-resident alien number, federal taxpayer's identification number, or Canadian social insurance number as their tax identification number.
Representative 2 Tax ID Qualifier	Select the type of identification used by representative 2 that corresponds to Representative 2's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Representative 3 Allocation Percent (format 9.999999999)	Type the percentage of the insurance asset allocated to Representative 3. This field is required when the All Representatives Included field has been set to "Y - All representatives included."
Representative 3 DOB (MM-DD-CCYY)	Type Representative 3's date of birth.
Representative 3 ID	Type the identification number of Representative 3 assigned by the insurance carrier.
Representative 3 Tax ID	Type the tax identification number used by Representative 3. Representatives of the insurance asset may use their social security number, non-resident alien number, federal taxpayer's identification number, or Canadian social insurance number as their ACATS/IPS Beneficiary identification number.
Representative 3 Tax ID Qualifier	Select the type of identification Representative 3 that corresponds to Representative 3's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Representative 4 Allocation Percent (format 9.999999999)	Type the percentage of the insurance asset allocated to Representative 4. This field is required when the All Representatives Included field has been set to "Y - All representatives included."
Representative 4 DOB (MM-DD-CCYY)	Type Representative 4's date of birth.
Representative 4 ID	Type the identification number of Representative 4 assigned by the insurance carrier.

Representative 4 Tax ID	Type the identification number used by the Representative 4. Representatives may use their social security number, non-resident alien number, federal taxpayer's identification number, or Canadian social insurance number as their ACATS/IPS Beneficiary identification number.
Representative 4 Tax ID Qualifier	Select the type of identification used by Representative 4 that corresponds to Representative 4's identification number. Choices are: • 34: Social Security Number • A3: Non-Resident Alien Number • FI: Federal Taxpayer's Identification Number • SB: Canadian Social Insurance Number.
Team ID	Type the team identification number. The team identification number is assigned by the insurance carrier to the team of representatives that represent the insurance asset.